FINAL REPORT

Demonstration and Evaluation of Diverse Methods of Technical Assistance Provision to HBCUs

Submitted to

Office of Minority Health
Health Resources and Services Administration
U.S. Department of Health and Human Services

Prepared by the

Institute *for* College Research Development *and* Support

8701 Georgia Avenue
Suite 603
Silver Spring, Maryland
(301) 585-7588

September 30, 1999

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FOREWORD

This *Final* Report has been prepared by the *Institute for College Research Development and* Support (the *Institute),* in keeping with the requirements of the *Institute's* contract with the Health Resources and Services Administration (HRSA), in concluding the project titled *Demonstration and Evaluation of Diverse Methods of Technical Assistance Provision fo Historically Black Colleges and Universities (HBCUs),* which was administered by the HRSA Office of Minority Health (OMH). This project represents a significant effort by HRSA, as an operating division (OpDiv) of the U.S. Department of Health and Human Services (DHHS), to increase its utilization of the resources that exist among the nation's HBCUs. Specifically, HRSA has expressed the desire to address identified needs at many HBCUs by providing technical assistance that would help them to compete more effectively for HRSA grants and contracts, as well as to increase their participation in other HRSA programmatic activities. In this initial effort to provide such assistance, it was important to HRSA to evaluate the relative effectiveness of diverse methods of technical assistance provision, in order to plan future efforts that will be more effective, including cost-effectiveness. The diversity relates specifically to two presentation methods of an intervention, a workshop, using a regional setting and an on-site setting at an HBCU campus, in an effort to determine which method is more effective in the provision of technical assistance to HBCUs.

It should be noted that the project had two initial major components: (1) *demonstration* and *(2) evaluation.* Thus, in an effort to comply with the desires of DHHS for better documentation of demonstration projects which they fund, effort has been made in this report to provide a detail of the project development and implementation processes. Hopefully, such detail will be informative for other operating divisions within DHHS, and other Federal agencies, that might have an interest in using these processes as a model.

It also should be noted that the program of technical assistance had to be developed before demonstration or evaluation could occur. Therefore, this report provides a discussion on the development of all activities related to the workshop, including content, structure, materials, and evaluation instruments. In essence, this developmental effort was like building a highway and trying to drive on it at the same time. Fortunately, with the cooperation of the HBCUs and the HRSA staff, from the various bureaus, efforts to implement the project went smoothly. In fact, as is conveyed in this report, the intense involvement of the HRSA staff contributed to the success of the demonstration component of the project.

With respect to the evaluation component, while much of this effort involved a qualitative analysis of the collected data, there were sufficient data available for quantitative measures to be made. Together, both the qualitative and the quantitative analyses have allowed for a definitive answer to be made to the primary evaluation question of the project: Is it better to provide technical assistance to HBCUs through a regional format or through a format presented on their campuses? So that programmatic continuity would exist from the demonstration component through the evaluation component, efforts were made to link all objectives, both process and impact, with all of the project's developmental and implementation activities. These linkages, which are illustrated in several models within this report, have significantly contributed to a systematic evaluation process.

Also presented in this report is a detailed discussion of the third component which was subsequently added to the project. This component, provision of technical assistance in a follow-up manner to the HBCU representatives after their participation in the workshop, considerably enhanced the effort. Interestingly, data analyzed from this component have been very informative, as related to its correlation with other measures of success for the project.

Reid E. Jackson II
Project Director

ACKNOWLEDGMENTS

The *Institute for College Research Development and Support* is pleased to acknowledge the commitment to the Nation's historically Black colleges and universities (HBCUs) by the Health Resources and Services Administration (HRSA) Office of Minority Health of the U. S. Department of Health and Human Services, under the direction of M. June Horner. This commitment has been evidenced throughout the entire project period by the involvement of a significant number of staff persons from HRSA, including the Administrator, Dr. Claude Earl Fox. In fact, the dedication of HRSA was readily recognized by the HBCU representatives, who took part in the demonstration and evaluation effort, which contributed considerably to the success of the project. Further, the recognition by HRSA that technical assistance is an important ingredient to increasing the involvement of HBCUs in their programmatic activities, is noteworthy. Additionally, the foresight of HRSA to determine how technical assistance might best be provided to HBCUs, through a formalized evaluation, is equally noteworthy. This is especially important, given that the results of the evaluation should substantially shed light on the impact that technical assistance has on the efforts of HBCUs to increase their acquisition of HRSA contracts and grants, as well as other programmatic involvements.

A special debt of gratitude is owed to the current Co-Project Officer, Dr. Roscoe Dandy, for his support and guidance throughout the implementation of the project. His words of wisdom, based on his prior experience with HBCUs, were extremely helpful. More importantly, the consistent daily contact by Dr. Dandy, offering whatever he might do to make the project a success, was invaluable. The former Co-Project Officer, Gwendolyn Clark, is to be commended for initiating the idea of using a technical assistance workshop, as an intervention, for bringing more HBCUs into the mainstream of HRSA program involvement. Her understanding of the importance of evaluation in giving credibility to such efforts, has served as a motivating force to the *Institute.* Of course, none of the technical assistance demonstration and evaluation efforts could have been undertaken without the support and approval of Ms. Horner. She is to be especially applauded for her cognizance that providing technical assistance to the HBCUs as a follow-up to the workshop experience, would enhance their efforts in pursuing funding and other program activities of HRSA.

Certainly, the demonstration and evaluation effort would not have been successful without the implicit cooperation of all the HBCUs, and their representatives, who took part in the project. Of special note are the directors of sponsored programs at these institutions, who gave so freely of their time in providing information for assessment of the needs of the HBCUs for technical assistance, and for their assistance in selecting the participants from their schools to participate in the workshop. The presidents of these HBCUs are also thanked for giving support to the participation of their faculty, and realization of the seriousness of HRSA to have greater involvement with HBCUs. A special thanks goes to the five HBCUs that allowed the *Institute* to conduct the workshop on their campuses. This includes Jackson State University, and its President at the time, Dr. James Lyons; Albany State University, its President Dr. Portia Shields;

North Carolina Central University, its President Dr. Julius Chambers; Winston-Salem State University, its Chancellor, Dr. Alvin Schexnider and Tuskegee University and its President, Dr. Benjamin Payton. At all of these institutions, the project team from the *Institute* and the HRSA staff, were received with congeniality and responsiveness. The equally cordial cooperation of all the staff, particularly those within the various offices of sponsored programs, and the faculty from these institutions, who so freely contributed information about their various academic and research programs, also are greatly appreciated.

Much of the ability for the project staff to interact in a credible manner with the HBCU participants, was due to the efforts of the peer facilitators. Accordingly, they were able to provide their own unique experiences in an effort to enhance all of the workshop presentations. These individuals include Dr. George Littleton, of Howard University, whom many refer to as the Dean of funding knowledge; Elbert Malone of South Carolina State University; and Elijah Martin of Langston University.

Additionally, the *Institute* is thankful to its own staff, who spent an enormous amount of time in collecting and analyzing the data for this report, This includes Carolyn Paxton, Dr. Wayne Hall, Juanita Jackson, Marilyn Henry, and Dr. Jane Otado. The support staff of Adrienne Brown and Jacquelyn Saxon, are to be especially lauded for their efficient word processing in the production of this report.

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EXECUTIVE SUMMARY

Project Background and Rationale

In the findings from a 1996 Coppin State College study, commissioned by the Health Resources and Services Administration (HRSA), an operating division (OpDiv) of the U.S. Department of Health and Human Services (DHHS), it was reported that: (a) HRSA did not succeed in reaching its own goals of awarding funds to historically Black colleges and universities (HBCUs) in three out of four fiscal years from 1992 to 1995; (b) HRSA tiding for all institutions of higher education (IHEs) increased somewhat from 1992 to 1995, however, during that same time period, fimding to HBCUs decreased; and (c) HBCUs expressed a strong desire to receive technical assistance regarding various aspects of HRSA programs, if their finding levels were to increase. As a result of these findings, the Coppin State College report, titled a *Study of the Participation of HBCUs in HRSA Programs,* recommended that HRSA should provide focused technical assistance which would meet the needs of HBCUs for increasing their competitiveness of applications submitted for funding, from various HRSA programs. In response to these findings and recommendations, which served as a major rationale, HRSA engaged the *Institute for College Research Development and Support* (the *Institute),* in October 1997, to develop and implement the project *Demonstration and Evaluation of Diverse Methods of Technical Assistance Provision to HBCUs.* The primary intent of the demonstration component of this effort, that was administered by the HRSA Office of Minority Health (OMH), was to show that technical assistance provision can be an effective means for increasing the involvement of HBCUs in the programmatic activities of HRSA. For the evaluation component, the primary intent was to determine what method is best, from among two approaches, in efforts to provide technical assistance to the HBCUs. It should be noted that the two approaches, which were alternative presentations of a workshop, had been predetermined by HRSA as the method of intervention. Thus, the term *diverse methods,* within the project title, is really a misnomer, considering that only two methods would be evaluated: (a) presentation of the workshop in a regional setting, involving 20 HBCUs; and (b) presentation of the workshop on-site, at the campus of 5 HBCUs. Like the selection of the workshop as the intervention method, the total number of HBCUs to be selected for participation in each of the approaches was pre-determined by HRSA.

In addition to the Coppin State College report serving as a rationale for the project, HRSA also took under consideration that: (a) the emphasis within HRSA on ensuring access to adequate health care by minorities and disadvantaged groups is consistent with the activities of many HBCUs, which have a long tradition of providing social services and other valuable resources to African American communities; (b) significant resources exist at the Nation's HBCUs which could be of benefit to HRSA, and (c) the White House Initiative on HBCUs, authorized under Executive Orders 12876 and 12928, which mandates that Federal "agencies must make better use of the resources that HBCUs possess to further the goals of Federal programs".

Objectives for the Project

The *general objective* for the project was to determine, by the end of 22 months, the most effective method of providing technical assistance to HBCUs, that will significantly increase their involvement with the programmatic activities of HRSA, especially in the acquisition of grants and contracts, through the evaluation of regional workshop presentations and through the evaluation of presentations made on-site at the campuses of select HBCUs. In support of this general objective, nine specific process objectives were established, all relating to the development and implementation of the project. Each of these specific objectives were stated in measurable terms.

Development of the Project

Before demonstration or evaluation of the two workshop approaches could be implemented, it was first necessary to develop the focused program of technical assistance. This developmental process was based on three factors: (a) assessment of HBCU needs for technical assistance, (b) the desires of HRSA, and *(c)* the experience of the *Institute* with prior technical assistance provision to HBCUs. With respect to the assessment of HBCU needs, the *Institute* conducted a formal process with 20 of 25 HBCUs that were potential participants in the project. This involved contacting the directors of the sponsored programs office (SPO) at these institutions, by telephone, to determine their perceptions of need, as well as to determine their interest in participating in the project. An SPO is the organizational entity at IHEs that generally has responsibility for the administration of pre and post award grant and contract functions, which typically includes proposal development. So that the questions to be asked of each SPO interviewee could be standardized, during the assessment, an interview protocol was developed by the *Institute*. Following, in order of priority, are the six greatest needs expressed by the interviewed SPO directors, for increased involvement with HRSA, based on a compilation of the responses from the interviews: (1) More specific information on HRSA programs; (2) Strategies for producing more competitive proposals; (3) Knowledge of the typical funding cycles for HRSA programs; (4) Strategies that an HBCU might use to market project ideas to HRSA; (5) HRSA's specific procedure for reviewing and evaluating applications for funding; and (6) Strategies for efficient financial management and administration of contract and grant awards. In addition to the assessment information providing for a commonality and ranking of the technical assistance needs, as expressed by the HBCU SPO directors, it also allowed for the following:

- A determination of the interest and intent of the HBCUs to participate in the project;
- A determination as to which schools would participate in the regional presentations and which schools would be site visited for technical assistance provision; and
- A basis for development of the content for a technical assistance program that responded to the needs of the selected institutions.

After completing the assessment of needs, the next task was to select the HBCUs, that would take part in the demonstration and evaluation effort, as institutional participants. In carrying out this process, HRSA stipulated that the selection of the HBCUs should focus on institutions that had previously demonstrated familiarity with HRSA programs and procedures, preferably as past

recipients of HRSA funding. Given the desire of HRSA to increase the involvement of HBCUs without medical and dental schools, these institutions were precluded from participation in the project. While the *Institute* noted that those HBCUs with the least prior HRSA experience were probably the institutions which were likely to have the greatest need for technical assistance, it was the desire of HRSA to involve those HBCUs in the demonstration and evaluation effort, on the belief that the potential for initial impact of the effort would be maximized. In compliance with this desire of HRSA, the *Institute* first examined HRSA award data to rank the HBCUs according to the number of awards they received from that OpDiv in FY 1996. This ranking included 33 HBCUs that had received awards in that year. Of those 33 HBCUs, only 13 had received more than one award, with 20 receiving only one award during FY 1996. For the purpose of further rank ordering the 33 HBCUs, especially those 20 one-award HBCUs, it was decided that the next most meaningful measure of "experience with HRSA" would be the dollar value of all awards received from 1992 to 1996, rather than just the amount of one award received in FY 1996. Extending consideration to the earlier five years added an additional four HBCUs, for a total of 37 HBCUs on the rank-ordered list.

It was determined by the *Institute* that a completely random sample with random assignment to the two conditions, which were *regional* workshop presentation versus *on-campus* workshop presentation, might be politically dangerous. The rationale for this position, based on the experience of the *Institute,* was that HBCU administrators might be disappointed to know that only certain institutions would be visited directly, especially if their institution was not chosen for a visit. Therefore, the *Institute* developed a modified approach for selecting a "purposive sample" of HBCUs to participate as the full set of25 HBCUs that were to receive technical assistance. Three dimensions of diversity were deemed to be potentially important for this selection process:

- *Size,* in terms of enrollment, where a large institution was defined as having 4000 students or more, and a small institution as having fewer than 4000 students;
- *Affiliation,* as either private or state-affiliated; and
- *Number of HRSA awards,* which has four natural categories in Table 1, including 1 award, 2 awards, 3 awards, and 4 or more awards in FY 1996.

Considering that only five HBCUs were to be selected for the on-campus workshop presentations, the purposive sample was drawn to ensure that those five institutions would represent both sizes, both affiliations, and all four award categories. Potential institutional participants within each of the four award categories were contacted as to their preference to participate in a regional or on-campus workshop presentation. Although 20 HBCUs were initially selected for participation in the regional setting, last minute, unforseen circumstances, precluded the participation of four HBCUs. Shown on the next page, are those selected HBCUs that officially participated in either a regional workshop presentation, or a campus on-site presentation. As noted, Silver Spring, Maryland and New Orleans, Louisiana were the sites selected for the regional workshop presentations. Both of these presentations were held at hotel facilities.

Selection of the appropriate individuals for participation in both the regional and campus on-site workshop presentations was made entirely by each of the HBCUs agreeing to take part in the

HBCUs Selected for Workshop Participation

Regional Workshop Participants		On-Site Participants
Silver Spring, Maryland	*New Orleans, Louisiana*	*Campus Sites*
Benedict College	Alabama State University	Albany State University
Bennett College	Alcom State University	Jackson State University
Fayetteville State University	Bethune-Cookman College	N.C. Central University
Kentucky State University	Grambling State University	Tuskegee University
South Carolina State University	Langston University	Winston-Salem University
Tennessee State University	Morris Brown College	
University of the Virgin Islands	Texas Southern University	
Univ. of the District of Columbia	Tougaloo College	

project. This selection process, for individual participants, was coordinated by the SPO directors at each of the selected HBCUs. Ultimately, there were 16 HBCU representatives who attended the regional presentations, and 35 who attended a workshop presented at a campus site. Of these 51 official participants, 46 were faculty members and 5 were administrators. The majority of these participants had limited prior proposal development experience. Their academic backgrounds spanned a wide range of disciplines, inclusive of the health professions, health education, the natural sciences, physical sciences, and the behavioral sciences. About 72 percent of these individual participants had a terminal degree. Thus, at each of the seven workshop sites, the selected individual HBCU participants were homogenous, or comparable in their backgrounds, both academically, and in proposal development experience.

The content of the workshop, for presentation to the selected HBCU participants, was planned and developed so that such presentations at both the regional and on-site settings would be the same. This was done so that comparable data to measure effectiveness, could be collected from both types of sites. Seven sessions, with associated topics, comprised the workshop content. These focused sessions were developed to address the expressed needs of HBCUs, for their increased involvement with the programmatic activities of HRSA. The focused sessions included: (1) Types of HRSA Awards; (2) Sources for Identifying HRSA Awards; (3) Program Opportunities Within HRSA; (4) Assessing HRSA Opportunities; (5) The Application Process for HRSA Awards; (7) Evaluating Applications and Proposals for HRSA; and (7) Preparing a HRSA Grant Application. A formative process was used in the presentation of the sessions, from the first workshop site to the seventh workshop site. Accordingly, efforts were made after each workshop to modify the content and presentation of the topics from one workshop to the next, based on responses from the feedback forms completed by the HBCU participants, and from observations by the facilitators, that modification to some ofthe topical presentations might enhance the HBCU learning experiences. The

changes were specifically designed to promote the opportunity for increased gain in awareness and knowledge by the HBCU participants.

For both the regional and the on-site settings, the structure of the workshop involved presentation of the seven sessions over a two and one-half day period. Within each of these sessions, related topics were used to present content information. Each topic was allocated a specific time frame. During the opening session, following introductory remarks about the purpose of the workshop and self-introductions of the HBCU participants and the workshop facilitators, the following objectives for the workshop were presented to the HBCU participants:

- To provide an overview of the types of awards made by the HRSA, such as contracts, grants, and cooperative agreements.
- To provide an overview of the types ofprograms at HRSA offered through their four bureaus.
- To provide an overview of the grant application process, including the application itself, the review process, and the proposal evaluation process.
- To provide a working knowledge of the systematic proposal development process known as KATE.
- To develop the conceptual framework for a proposed project, which relates to the programmatic offerings ofHRSA, as presented in their grant announcement brochure.

All of the materials developed for use in both the regional and the on-site presentations were designed to follow the seven sessions and their 14 associated topics. For each topic, one or more activities were developed, inclusive of *activity objectives* and *behavioral objectives.* The latter objectives were established to let the HBCU participants know what behavior, related to each topic, they were expected to exhibit after taking part in the activity. For the 14 topics which were presented, 37 activities were developed. Activity sheets were placed in a three-ring binder, along with other informational documents, which served as background for a particular topic Together, the activity sheets and additional materials comprised *the Activity* Book that was distributed to the HBCU participants. In response to the requests made by the HBCU participants, at the regional workshop sites, for greater exposure to KATE, the systematic proposal development process, a separate *supplemental activity book* on this process was developed. Thus, the *Activity Book* and the KATE supplement became the primary materials used for presentation to the participants at the on-campus sites.

In an effort to maximize the presentation of the topics at each workshop site, facilitators from three organizations were used: *HRSA,* the *Institute,* and three selected HBCUs. The staff of HRSA also were used to serve as mentors during one-on-one sessions with the HBCU participants, based on the project concepts that these participants preselected. At both the regional and on-site presentations, about twelve to fifteen HRSA staff participated as facilitators and/or mentors.

Implementation of the Project

The regional workshop presentations, held in Silver Spring and New Orleans, both required the same set of activities: pre-workshop, on-site, and post-workshop. In addition to the typical logistical arrangements and preparations necessary for implementing any type meeting, the pre-workshop activities included contacting the directors of the sponsored programs office to provide the intent of the workshop, and to solicit their support in identifying the appropriate individuals to attend. For the regional HBCU participants, the SPO directors were charged with the selection of only one representative, while those HBCU SPO directors from the institutions participating in the campus-on-site presentations, were charged with selecting five to ten representatives. A major task in conducting the on-site activities involved administering a pre-test and a post-test. These tests were used to determine the knowledge gain by the HBCU participants, as a result of their training in the workshop. A *Feedback Form* also was administered to the participants, on-site, which served as a measure for effectiveness determination of the workshop presentations. Analysis of the pre-tests and post-tests occurred during the post-workshop activities, in addition to the reimbursement of typical travel expenses incurred by eligible participants.

It is extremely important to note that, after the regional workshop presentations, a third component, *provision offollow-up technical assistance,* was added to the project. This addition was in response to requests made by the regional participants for help after their workshop involvement, in the development of a project which might be funded by HRSA. The greatest need for such assistance, the participants stated, resided in their production of a competitive proposal. Accordingly, both the regional and the campus on-site participants were offered follow-up technical assistance by the *Institute,* which served as an extension to the workshop as the method of intervention.

Evaluation of the Project

A formalized plan was developed by the *Institute* to systematically guide the evaluation component of the project. This *Evaluation Plan* was initially comprised of the following four segments:

1. The development of a working model to provide a conceptual framework for evaluation of the project, including the parameters for initial data collection;
2. The development of a logic model, 'grounded in the conceptual framework, as a theoretical basis for the use of particular evaluation methods;
3. The development of data collection materials tailored to this particular technical assistance effort; and
4. The gathering of pre-assistance data and process implementation data.

In addition to these four planned segments, a fifth segment was added, based on the availability of preliminary data during the formalized provision of follow-up technical assistance to all of the workshop participants:

5. The gathering and organizing of preliminary data on outcomes achieved by the participating HBCUs.

Overall, these five segments were designed to provide an answer to the primary evaluation question:

- *Is it better to provide technical assistance to HBCUs through a regional workshop presentation or through a presentation □↗ that workshop on-site at their campuses?*

In general, the evaluation component was designed to treat each workshop as a single case, with the individual HBCU participant as the unit of analysis. Each case could then be systematically studied and analyzed to determine the apparent costs and benefits of implementing all seven workshop presentations, with particular attention to the differences between the regional workshop presentations and the campus on-site presentations. Although the total of the seven workshop presentations provide only a small sample of data, which does not lend itself to sophisticated statistical analysis, there are sufficient measures, both quantitative and qualitative, that permitted a definitive answer to the primary evaluation question. For the most part, however, the emphasii of the evaluation was on qualitative analyses.

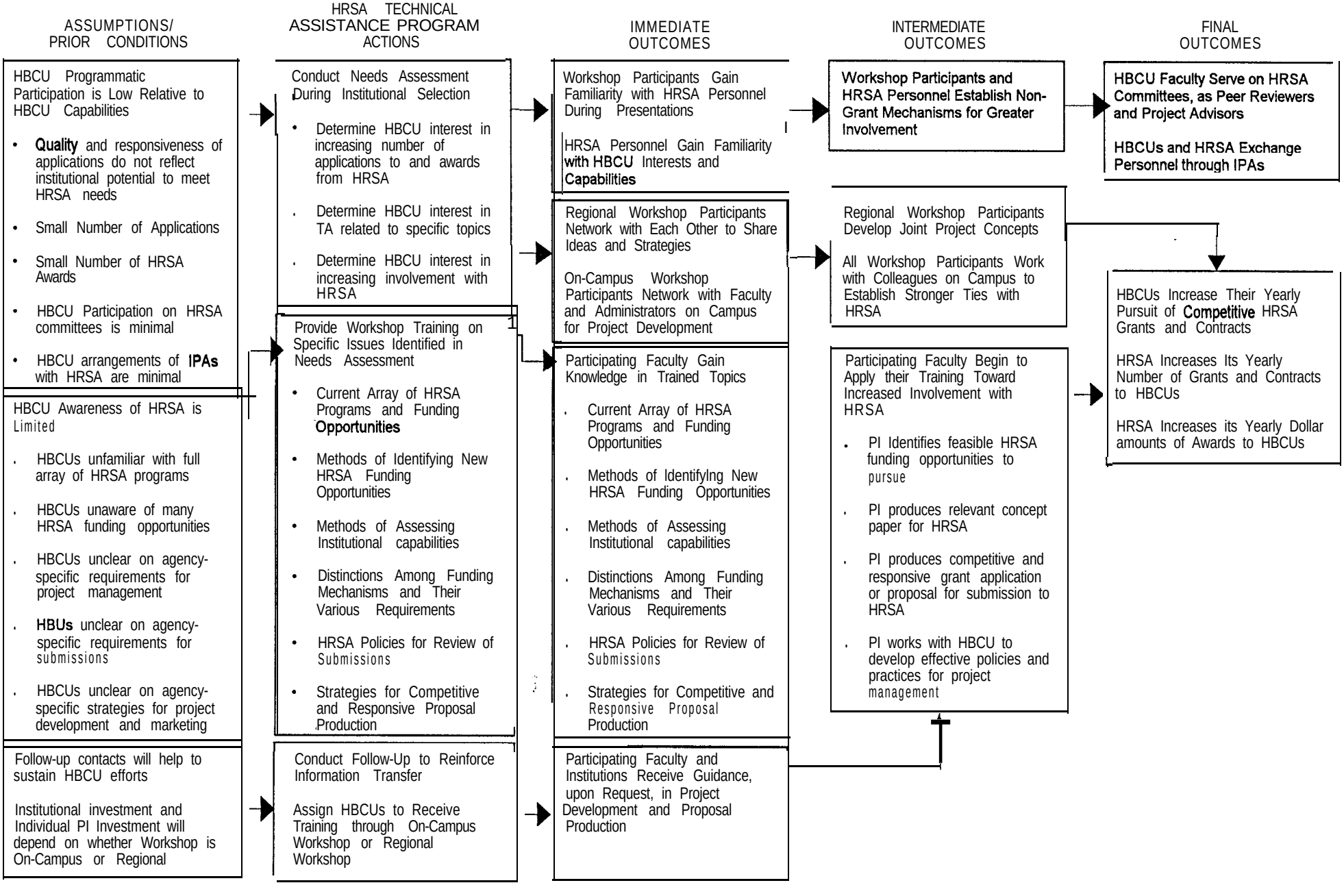
The development of the conceptual framework, which provided parameters for evaluation of the project, allowed for the development of a logic model. This logic model served as the primary theoretical basis for evaluation of the HRSA technical assistance provision to HBCUs. Further, the logic model served as the tool for guiding the design of the evaluation, keeping it consistent with the intent of the program of technical assistance to be evaluated. Accordingly, the logic model allowed for capture of the underlying rationale of the developed program of technical assistance, by specifying the likely and anticipated causal links among prior conditions of the program participants, program elements, and program results. Specifically, the logic model included links among the following components: (a) assumptions, (b) actions taken or interventions, (c) immediate outcomes, (d) intermediate outcomes, and (e) final outcomes. The details of these components appear in the figure of the logic model, presented on the next page.

In an effort to operationalize a response to the primary evaluation question, two subordinate questions were posed:

1. *Does short-term technical assistance, addressing appropriate topics in a 2.5-day workshop, increase the involvement of HBCUs in HRSA programs?*

2. *Is there a clear difference in the effectiveness of the 2.5-day workshop if the workshop is presented to faculty from several HBCUs at a regional location, or if it is presented to several faculty at a single HBCU on its campus ?*

Model for the Underlying Logic of HRSA Technical Assistance Provision to HBCUs



Based on the logic model, 16 key questions were specified, as sub-components of the two operational questions. Given the brief time between workshop implementation and conduct of the evaluation, some of these questions, which relate to intermediate and final outcomes, could be only partially answered. It was possible, however, to answer those questions which examined the processes of technical assistance provision in order to determine whether the workshop presentations were developed, presented, and followed up in a manner that could reasonably be expected to yield positive outcomes. Following is a synopsis of the 16 subordinate operational questions:

- Did needs assessment provide insight and support the technical assistance effort?
- Was the workshop relevant to HBCU and HRSA needs?
- Was the workshop presented as planned for both technical assistance methods?
- Was availability of follow-up technical assistance made known to all participants?
- Did participants gain knowledge from the workshop?
- Were useful references about HRSA provided to participants?
- Did participants establish meaningful contacts with HRSA personnel?
- Did regional approach facilitate joint HBCU project ideas?
- Did on-campus approach facilitate broader institutional involvement?
- Did participants increase proposal submission to HRSA?
- Have participants pursued other modes of HRSA involvement?

In order to link the actions and various outcomes with the assumptions, as presented in the logic model, the following synopses of measures and methods of analysis were specified: (1) HRSA reports on White House Initiative for HBCUS; (2) Needs assessment interview protocol; (3) Workshop materials; (4) Participant pre-workshop project ideas; (5) Pre-test and post-test of knowledge related to workshop topics; (6) Workshop Feedback Form; (7) Follow-up materials; (8) Submission of post-workshop concept papers; (9) Record of contacts made about follow-up technical assistance availability; (10) Submission of proposals to HRSA; (11) Pursuit of other modes of HRSA involvement; and (12) Observations and other notable outcomes.

Results of Project Methods and Measures

Prominent measures used to determine the effectiveness of the workshop resided in knowledge gain by the participants, as a result of their receipt of training, and ratings of various aspects of the workshop by these participants, as indicated on the *Feedback Form.* With respect to participant knowledge gain, the pre-test and post-test served as the tools for such measurement. Overall, when the results of the tests are aggregated across both the regional and on-site workshop presentations, there is:

- An average score increase for all HBCU participants;
- An average score increase at each workshop presentation site; and
- An average score increase for the aggregate of the two regional workshop presentations and an average score increase for the aggregate of the five HBCU on-site workshop presentations.

While there is an average score increase for all workshop participants, when the aggregate test scores of the regional workshop participants are compared with the aggregate scores of the on-site participants, a significant difference is revealed. For the regional HBCU participants, inclusive of Silver Spring and New Orleans, their knowledge gain was 35 percentage points, with 54 percent correct on the pre-test, and 89 percent correct on the post-test. For the HBCU on-site workshop participants, which includes all five of the campus sites, their gain was only 14 percentage points, scoring 47 percent correct on the pre-test and 61 percent on the post-test.

The *Feedback Form,* completed by each of the HBCU participants, provided a descriptive measure of the participants' perceptions, observations, and judgments regarding various aspects of the workshop. To complete this form, the participants were requested to rate ten items on a scale from one to five, with five being the highest, and to respond to two open-ended items. When all 10 items from the *Feedback Form* are aggregated and averaged across all workshop sites by all of the KBCU participants, the combined overall rating for the workshop is 4.8 on the 5 point scale. A comparison of the average overall workshop rating between the regional HBCU participants and the campus on-site participants, are 4.9 and 4.7 respectively.

For the open-ended questions, a frequency of like responses was tallied. Based on these tallies for the first open-ended question, which asked the participants to specify the workshop activity that they perceived to be most beneficial, the greatest number of responses given, 28, was for *KATE,* the systematic proposal development process. The presentations and opportunity to have interaction with the HRSA facilitators received 22 comments, the second highest number of open-ended responses. For the second open-ended question, the responses were limited. Most of these responses to this question, which asked the HBCU participants what additional activity, or issue, they would like to have had presented at the workshop, indicated that the workshop was comprehensive, and that very few changes needed to be made.

In summary, while the analyzed data from the *Feedback Form* does not lend to addressing the outcome measures specified in the logic model, they do provide sufficient information for answering, in part, the extent to which the workshop has been effective. Accordingly, based on the responses of the HBCU participants, it is strongly suggested that the workshop, its structure, content, materials, and presentations, *were very* effective. Thus, it can be stated with a high degree of assurance that, the *demonstration component* of the project was successfully implemented.

One of the major hoped for impacts of which HRSA was desirous, as a result of participation in the technical assistance workshop by the HBCUs attendees, is an increase in the number of grant applications and contract proposals that these attendees would submit to their agency. As voiced by HRSA, an increase in application submissions for these awards, by the HBCUs, would be the true measure of success for the technical assistance workshop. In response to the desires of HRSA, preliminary data show that participating HBCUs already have been active in seeking HRSA funding. As of June 30, 1999, 12 proposals had been submitted to HRSA by the HBCU workshop participants. When these submissions are examined in detail, 9 of the proposals had been submitted by the 16 regional participants, and only 3 had been submitted by the campus on-site participants. In an effort to assess whether individuals who participated in the regional workshop presentations were more likely

to submit a proposal than were individuals who participated in the campus on-site presentations, a chi square statistical test was performed. This test was possible, given that n was greater than 30. The results of the test suggest ($X^2 = 13.11$, df = 1, $p < 0.001$) that there was a better than 999 in 1000 chance that the proposal submission rate of the regional participants was significantly higher than those participants who participated in the on-site workshop presentations. Thus, the regional workshop presentations clearly allowed for a more effective production of proposals than did the on-site workshop presentations. Although it may be too early to draw firm conclusions, given the shortness of time that has elapsed since participation in a workshop by both the regional attendees and the campus on-site attendees, as well as the availability of funding cycles, regarding the relative effectiveness of the two workshop methods as associated with proposal submissions, the preliminary data suggests that the regional workshop presentations have been more effective. It should be noted that the regional workshop participants and the campus on-site participants have had the same number of funding cycles available to them since their workshop attendance.

Provision of Follow-up Technical Assistance

Efforts to provide follow-up technical assistance were categorized into four process modes: (a) mail, (b) telephone, (c) e-mail, and (d) site-visit. Effort was made to contact all 5 1 of the HBCU workshop participants, to determine their interest in, or need for, follow-up technical assistance. During the seven month span in which the follow-up efforts were made available, it was learned by *the Institute* that the following two classes of HBCU participants existed, with respect to their requirements for technical assistance:

- *Level I,* which includes those HBCU participants who require assistance in: identifying an appropriate programmatic area within one of the HRSA bureaus; conceptualizing a project related to the identified area; and in the development of the proposal as part of the grant application to the identified program area.

- *Level II,* which includes those HBCU participants who only require assistance in the development of the proposal as part of the grant application to the program area that they have already identified.

Although no tests of statistical significance were carried out which might show direct correlation between provision of follow-up technical assistance and submission of proposals to HRSA, the data does infer that a relationship existed. This is evidenced in that 9 of the 13 regional HBCU participants who requested and received follow-up technical assistance, also submitted proposals. No proposals, as of the writing of this report, have been submitted by those regional HBCU participants who did not receive follow-up technical assistance. Out of the 33 HBCU on-site participants who were ultimately contacted about the availability of follow-up technical assistance, only 16 requested such assistance, and only 11 actually received the help. As previously mentioned, only 3 of a possible 35 HBCU participants in the campus on-site workshop presentations have submitted a proposal to HRSA, as of June 30, 1999. Given these data, and other related data, it is inferred that the greater amount of follow-up technical assistance provided, the greater the number of proposals will be submitted.

Case Studies

The case studies for the seven workshop sites allowed for a descriptive presentation to be made about each. They also served as a reinforcement to the assumptions, actions, and the various anticipated outcomes put forth in the logic model. Further, the case studies were intended to be explanatory on key issues which, according to the various measures of success, have had an impact on the results of these measures.

With respect to the anticipated outcomes, the HBCUs in the two regional case studies were very active in their request for follow-up technical assistance and in their submission of proposals to HRSA. The regional participants have not been as active, however, in their application to HRSA for participation on peer review committees. For the campus on-site presentations, the case studies support earlier referenced results, that such presentations are not as effective as the regional workshop presentations, especially as related to having a "captive" audience for the duration of a workshop. Invariably, at all five on-site presentations, many of the faculty participants would leave the workshop, during important presentations, to teach their classes, or to attend to other day-to-day responsibilities. While they all returned, their temporary absence had an impact on their knowledge gain. This is evidenced in the pre-test and the post test, as previously cited. The case studies also highlight the important role of the Sponsored Programs Office (SPO), to the success of project identification and proposal development.

Findings From the Evaluation

The findings from answering the16 subordinate evaluation questions are directly related to the assumptions and anticipated outcomes specified in the logic model. Additionally, these findings serve as support for *the* answer to *the primary evaluation question:*

- *Is it better to provide technical assistance to HBCUs through a regional workshop presentation or through a presentation of that workshop on-site at their campuses?*

Based on an analysis of the data, of both a quantitative and qualitative nature, the answer to this primary question resounds quite clear that, it is better to use a regional format for presentation of technical assistance to HBCUs. In support of this primary answer, the following summary answers to the subordinate questions are presented.

- The needs assessment was found to have provided valuable guidance in the selection of workshop topics, the identification of appropriate HBCU representatives to participate in the workshops, and the selectionoffacilitators who could address HBCU needs and interests.

- The workshop agenda and topics were selected in a manner that was consistent with the information provided by the HBCU interviewees during the needs assessment, as well as being consistent with the desires of HRSA expressed during the development of the demonstration aspect of the project.

- With minor deviations from the schedule of presentations, the facilitators presented materials consistently, in accordance with the design that was established for the workshop materials.

- Telephone calls were made to each of the individual HBCU workshop participants, after a mailing of written notification that follow-up technical assistance would be available.

- The results of the pre-test and post-test indicate that those participants who completed both tests did, on average, demonstrate knowledge gains in pertinent workshop topics.

- The HBCU participants received useful reference documents, as presented in materials such as the specially developed *Activity* Book, which included the schedule of workshop events, topics that were to be addressed in the workshop, objectives of the workshop activities, and supplemental informative documents related to many of the workshop topics.

- The format of the workshop allowed for the HBCU participants to establish meaningful contact with HRSA personnel, and receive practical specific answers to their questions about project development and to HRSA funding opportunities.

- The regional setting facilitated the development of joint project ideas, as evidenced by the Silver Spring workshop where, the HBCU participants from the nursing disciplines began discussion about the formation of a consortium for the joint pursuance of funding opportunities.

- The on-campus setting facilitated broad institutional participation in efforts to increase HBCU involvement with HRSA, as evidenced by expressions from the participants at the faculty level, who freely indicated their views to administrators who visited the workshop, on the effectiveness or lack of effectiveness of their institution in assisting them to locate and pursue Federal funding opportunities.

- The workshop facilitated the submission of proposed project topics by the HBCU participants, allowed for the identification of feasible funding opportunities, and subsequently facilitated the development of concept papers, and the submission of proposals.

- As a result of the contacts made during the workshop, the HBCU participants have pursued other modes of involvement with HRSA, such as peer review committees, and advisory panels, as evidenced by 12 participants, mostly from the campus on-site workshop, who have applied to serve on peer review committees.

- There is a pattern of differences between the success indicators for the regional workshop participants and the success indicators for campus on site workshop participants, in that the trend of success is in the favor of the regional workshop presentations.

- The tangible costs, over the long term, for involving a single HBCU participant in a campus on-site workshop is about 50 percent less than the tangible costs for the involvement of that same participant in a regional workshop.

- The ratio for proposal submission is 3 to 1 in favor of the regional HBCU participants, and 6 to 1 in favor of the campus on-site participants for applications submitted for peer review committee involvement.

- One of the most unique benefits which appears to be associated with the success of the regional workshop, over the campus on-site workshop, is the allowance for a captive audience.

- There appears to be no unique costs that would undermine the presentation of either the regional workshop or the campus on-site workshop, in an effort to reach the desired outcomes specified in the underlying logic established for evaluation of the project.

Conclusions

Although presentation of the findings on the evaluation questions have provided for support of the answer to the primary evaluation question, it is important, for an effort such as the current demonstration and evaluation project, to ferret out those findings which might be deemed significant, and allow for conclusions to be made. Accordingly, presented below are only those conclusions, based on the analysis of both quantitative and qualitative data, which are considered by the *Institute* to be significant, and which lend themselves to strong correlations with recommendations that are later presented.

1. That the regional workshop method is more effective than the campus on-site method in providing technical assistance to HBCUs, based on measures of success such as the pre and post-tests, the submission of proposals, and the receipt of grant awards.

2. That a strong correlation exists between the receipt of technical assistance provided in a follow-up manner to the workshop, and the ultimate submission of a proposal to HRSA, by the HBCU participants.

3. That the HBCU workshop participants regarded the ability to understand and use a systematic proposal development process as being the most critical factor in their efforts to produce competitive and successful proposal submissions to HRSA, and to other funding sources.

4. That, based on a cross-referencing of the data from the case studies, the Feedback Forms, and the proposal submission count, a strong correlation exists between the commitment and dedication shown by the HRSA staff, in their roles as workshop facilitators and mentors, and the ultimate submission of proposals by the HBCU workshop participants.

5. That the regional workshop method is more cost-effective than the campus on-site method, based on a cost-benefit analysis.

6. That, based on a cross-referencing of data from the case studies and the provision of follow-up technical assistance, a strong correlation exists between the success of the individual HBCU participant during and after workshop participation, and the interaction of that individual with the Sponsored Programs Office prior to the workshop, in efforts by this office to support all facets of the technical assistance effort.

7. That two levels, or categories, of HBCU participants exist, with respect to their needs for the provision of technical assistance in a follow-up manner to the workshop: (a) those who require assistance in identifying an appropriate programmatic area within one of the HRSA bureaus; conceptualizing a project related to the identified area; and in the development of the proposal as part of the grant application to the identified program area, and (b) those who only require assistance in the development of the proposal as part of the grant application to the program area that they have already identified.

8. That extensive and well organized materials, specifically designed for each topical presentation, are essential to the success of the workshop.

9. That the campus on-site workshop presentation, where more than one faculty member from an HBCU can be in attendance, allows for a broader institutional participation in all aspects of the technical assistance effort, than does the regional workshop presentation; however, the on-site presentationdoes not allow for the greater success in knowledge gain and in proposal submission.

10. That the HBCU participants are very desirous of significantly increasing their knowledge about the contract award process.

11. That the campus on-site presentation, where more than one faculty member from an HBCU can be in attendance, allows for a broader institutional participation in all aspects of the technical assistance effort, than does the regional workshop presentation; however, the on-site presentation does not allow for the greater success in knowledge gain and in proposal submission.

12. That a strong correlation exists between promotion, by HRSA, for involvement by the HBCU participants with peer review committees, as evidenced in campus on-site presentations, and the actual submission of applications by the participants for such involvement.

Lessons Learned From the Project

In the process of implementing the evaluation component, there were several notable outcomes that were not specifically addressed by the evaluation questions, but were within the realm of the project. Additionally, there were several observations that were made which can be construed as ancillary findings, based on the experience of the *Institute* in evaluating similar projects. Both, the notable outcomes and the ancillary findings can best be described as lessons learned. Following are summary statements regarding the lessons learned.

- Given the extent to which the show of dedication and commitment by the HRSA staff motivated the HBCU participants, HRSA should develop a careful process for the selection of facilitators for future similar endeavors.

- The awareness of those HRSA staff who participated in the campus on-site presentations was significantly increased, regarding the impressive physical plants possessed by the HBCUs that were site- visited.

- As a value added to the workshop, there was an increase in the awareness and knowledge of the HRSA facilitators and mentors, about the program initiatives and cross-cutting issues that are currently being addressed by each other's bureaus.

- The time of year is extremely important, with respect to implementation efforts for the workshop, inclusive of scheduling the workshop itself, and making attempts to interact with the HBCU participants.

- HBCU participants should be notified of their selection to attend a workshop, at least 90 days prior to that workshop.

- Attendance throughout all workshop sessions positively affects learning outcomes.

- Considering the expression by the participants to learn more about the contract process, thought might be given to expanding the discussion on this topic in future efforts.

Policy Implications From the Evaluation

While the data must be considered preliminary, there are at least three broad policy implications that emerge from the results of the evaluation:

(1.) The importance of HRSA staff participation, which appears to be particularly valuable in the context of technical assistance provision;

(2.) The advantages of regional meetings over on-campus presentations, which allow for the participation of multiple HBCUs, and provide for a more conducive environment for learning; and

(3.) The continuing need for more attention to the internal culture and politics of many HBCUs, that would be explanatory about the barriers which exist at many of these institutions for taking full advantage of technical assistance provision and for pursuance of awards.

Recommendations

The following recommendations draw from the findings and conclusions that have been earlier presented. These recommendations highlight the most fundamental aspects of the three components of the project: (a) *demonstration,* (b) *evaluation,* and *(c)follow-up technical assistance provision,* all of which have contributed to answering the primary question of the project. Further, these recommendations are strictly limited to issues that are within the purview of OMH and HRSA, regarding actions that can be taken to conduct effective technical assistance workshop presentations for HBCUs. Accordingly, the following recommendations are offered:

- That HRSA support the conduct of technical assistance workshop presentations for all of the Nation's HBCUs, using the regional method. To allow for broad institutional participation, as was evidenced in the campus on-site presentations, the workshop should be designed for 15 participants, involving 5 HBCUs, with 3 participants from each HBCU. If one workshop per month is presented, this design would allow for the approximately 90 HBCUs that have not been exposed to the workshop, to be accommodated over an 18 month period.

- That a cadre of HRSA staff be identified from among every bureau, to serve as primary facilitators and mentors, over the long term of the technical assistance workshop presentations. To enhance the presentations of the HRSA facilitators, and to allow for the standardization of presentations in the unforseen event that a primary facilitator might not be able to participate in a particular workshop, a slide show should be developed, using Microsoft Power Point, Corel 8 Presentation, or some comparable computer software.

- That a Center be established by HRSA, for the provision of technical assistance to HBCUs, and to other institutions of higher education that have significant minority enrollment. The Center would be responsive to those HBCUs that require technical assistance in a follow-up manner to participation in a workshop, and to any minority institution desirous of technical assistance, as it relates to an increase in their involvement with the programmatic activities of HRSA.

- That HRSA develop and implement *an Action Plan* designed to address three issues: (a) an increase in the involvement of HBCU faculty on peer review committees, advisory boards, and in intergovernmental personnel assignments (IPA), (b) a determination of the barriers which exist to the increased participation of HBCUs in HRSA activities, and (c) a strategy for the visit of HRSA personnel to HBCU campuses .This *Action Plan* should be inclusive of goals and time frames for attaining those goals.

- That an evaluation component be included in any formal effort to provide technical assistance to HBCUs, so that a determination of the impact of the effort might be made.

I. INTRODUCTION

A. BACKGROUND FOR THE PROJECT

There are many points at which the interests and activities of HBCUs are congruent with those of HRSA. The emphasis within HRSA on ensuring access of minorities and disadvantaged groups to adequate health care is entirely consistent with the activities of many HBCUs, which have a long tradition of providing health services and other valuable resources to African-American communities. The goal of increased involvement of HBCUs with HRSA is particularly important because of Executive Orders 12876 and 12928, which mandate that Federal agencies must make better use of the resources that HBCUs possess to further the goals of Federal programs. Although HRSA has established a record of directing various programs to minority groups and to HBCUs, there still exists an incomplete understanding within HRSA about the specific capabilities and specific needs of many HBCUs to carry out the educational, research, and service activities that are sponsored by this agency.

Over the years, HBCUs have borne the major burden of educating a significant percentage of African-American physicians, teachers, lawyers, and other leaders in the nation. The HBCUs also offer opportunities to individuals who might otherwise not have access to higher education, due to financial hardships or the continued lack of quality secondary education within many predominantly Black communities. For these reasons and more, the 1993 *White House Initiative on Historically* Black Colleges *and Universities* includes the declaration that "historically black institutions of higher education are a national resource to be treasured, nurtured, and developed."

The focus of the HRSA mission, to improve "the health of the Nation by assuring quality health care to underserved and vulnerable populations and by promoting primary

care education and practice," makes HRSA an ideal agency to develop increased ties between DHHS and HBCUs. For many years, HRSA has played an active role in encouraging the participation of HBCUs in its grant and contract programs. Several of the programs sponsored by HRSA and its subordinate divisions are aimed directly toward the development of HBCUs as resources for minority communities, or toward assisting the disadvantaged students and communities that are often served by HBCUs. For example, the Centers of Excellence Program, administered by the Bureau of Health Professions (BHPr), was reported in 1998, as sponsoring centers at 25 institutions of higher education, 7 of which were HBCUs. The involvement of the HBCUs, through these centers, is a natural extension of the mission that HBCUs have in serving minority populations and, in many cases, disadvantaged students. Similarly, the Health Careers Opportunity Program (HCOP), as reported in September, 1998, supports 37 grants to 29 HBCUs, out of the total of 1129 HCOP grants, to facilitate the entry of minority students onto health care career pathways.

Other examples of recent HBCU involvement with HRSA programs include the following:

- *Florida A&M University (FAMU), received a grant to support Scholarships for Disadvantaged Students, for the implementation of a program that would contribute to fhe diversity of the student and practitioner populations within the health professions. The program mainly provided financial assistance to select full-time students enrolled in FAMU's School of Nursing;*

- *Hampton University,* was *the recipient* of an Allied *Health Project* Grant to *assist the institution in meeting the costs associated with expanding their programs designed to increase the number of individuals trained in the allied health professions;*

- *Howard University,* was awarded a *Physicians Assistants Training Grant,* which allowed the institution to further develop and operate their educational program for physician assistants, as well as for individuals who might teach in such training programs;

- *Meharry Medical* College, was the recipient of a grant for the support of *Interdisciplinary Training in Health Care for Rural Areas.* This grant allowed Meharry to develop and implement a program designed to encourage and prepare select students to enter into/or remain in practices in rural America, after their graduation;

- *Tennessee State University,* was awarded an *Audiology and Speech Training Grant,* which provided support for the preparation of professionals at Tennessee State University and Vanderbilt School of Medicine, to meet the unique and special needs of mothers with communicative disabilities; and

- *Albany State* College, received a grant for the development, operation, and significant expansion of a *Nurse Practitioner/Nurse Midwifery Program.* This grant supported the education of nurse practitioners and nurse midwives for the provision of primary health care in a variety of settings.

While all of the above programs play an important role in utilizing HBCUs, the involvement of these institutions with HRSA still tend to be limited, both in the number of HBCUs that are involved and in the minority focus of the programs. This is evidenced in that, many of the programs, such as those listed above, tend to involve the same institutions. In fact, prior to the current demonstration and evaluation effort, a general pattern of involvement with HBCUs had not been established at HRSA. Consequently, there is a distinct need to find new ways to develop mainstream involvements of HBCUs with HRSA activities, especially given the natural dovetailing of HRSA goals and objectives with HBCU missions and activities.

In an effort to gain a clearer understanding of the extent of HBCU involvement, in 1996, HRSA engaged Coppin State College to conduct a *Study of the Participation of Historically Black Colleges and Universities in HRSA* Programs. That study addressed three major areas of interest to HRSA:

- The availability of reliable information regarding HBCU capabilities;
- A quantitative analysis of HRSA's record of meeting its own dollar-amount objectives for the award of grants and contracts to HBCUs each year; and

- A quantitative analysis of primary data related to apparent causes of the low rate of HBCU participation in HRSA programs, and ways to ameliorate those causes.

The findings of the study suggest that HRSA did not succeed in reaching its own goals of HBCU funding in three out of the four fiscal years from 1992 to 1995. While HRSA funding for all institutions of higher education (IHEs) increased somewhat from 1992 to 1995, the funding to HBCUs decreased. The data also indicate that the HRSA awards to HBCUs from 1992 to 1995 were highly concentrated, with 77 percent of the funding going to only 5 institutions, out of the total of 112 HBCUs listed by the White House Initiative Office on HBCUs. In addition, through site visits to nine HBCUs, and through the observations and speculations of the Coppin State College evaluation team, many recommendations were offered for the redirection of HRSA's resources toward strategies that would help more HBCUs to compete effectively for the growing levels of HRSA funding that are being awarded to the broader population of IHEs. Primary among these recommendations was the suggestion *that HRSA* should provide focused technical assistance which would meet the needs of particular institutions to increase the competitiveness of their applications for funding from specific HRSA programs.

In addition to the Coppin State College study, which addressed fiscal years 1992 through 1995, HRSA's 1997 Federal Performance Report provided information on fiscal years 1996 and 97, regarding awards to HBCUs. it is evident from this report that most HBCUs were either unaware of the full range of HRSA, did not choose to apply for many of the programs, or did not succeed in applying for funds in most HRSA programs. According to the report, 57 percent of all funding to HBCUs was awarded in only 2 programs: the Centers of Excellence Program and the Health Careers Opportunity Program (HCOP). Also, as shown in Table 1, the great majority of HBCU funding was concentrated in awards to 6 institutions, accounting for over 80 percent of HRSA awards to HBCUs. These findings are consistent with earlier data from HRSA's Federal Performance Reports dating back at least to FY 1992. To some degree, the concentration

of funding is attributable to the fact that certain HBCUs have medical schools or nursing programs that make them particularly competitive in obtaining HRSA funds. However, the data also imply that 63 of the nation's 103 HBCUs did not receive HRSA funding. Thus, while HRSA is involved, to varying degrees, with more than 40 percent of the nation's HBCUs, it is evident that the majority of HBCUs have had limited benefits from HRSA's efforts to utilize HBCU resources.

TABLE 1

Amounts and Percentages of All HRSA Awards to HBCUs in FY 1996*

Institution	Dollars ($) Awarded	Percent of Dollars Awarded to all HBCUs	Cumulative Percent of Awards to All HBCUs
Mehany Medical College	11,935,668	35.06	35.06
Tuskegee University	3,772,168	11.08	46.14
Howard University	3,663,481	10.76	56.90
Morehouse School of Medicine	3,262,239	9.58	66.48
Florida A & M University	2666,100	7.83	74.31
Xavier University	2,252,156	6.62	80.93
Texas Southern University	835,831	2.46	83.39
Hampton University	685,320	2.01	85.40
University of the Virgin Islands	301,397	1.49	86.89
Lawson State Community College	436, 190	1.28	88.17
Winston-Salem State University	344,833	1.01	89.18
Tennessee State University	319,412	0.94	90.12
Prairie View A & M University	265,380	0.78	90.90
Clark Atlanta University	250,089	0.73	91.63
Alcorn State University	216,456	0.64	92.27
Alabama State University	211,485	0.62	92.89
Coppin State College	209,792	0.62	93.51

Continuation of Table I

Institution	Dollars ($) Awarded	Percent of Dollars Awarded to all HBCUs	Cumulative Percent of Awards to All HBCUs
North Carolina Central University	*206,516*	*0.61*	*94.12*
Tougaloo College	203,632	*0.60*	*94.72*
Bethune-Cookman College	*196,868*	*0.58*	*95.30*
Claflin College	194,400	*0.57*	*95.87*
Other 19 HBCUs funded	1,906,137	*5.60*	101.47**

**This only includes direct awards to HBCUs, excluding $255,000 in awards to *third patties" for projects related to HBCUs or their students, and excluding $12,436 spent on advertisements in HBCU publications.*

***The total does not equal 100, due to rounding errors,*

Two other more subtle findings can be gleaned from HRSA's Federal Performance Reports. First, it is notable that in both 1996 and 1997, HBCUs received no HRSA funding in the categories of "Research & Development" or "Program Evaiuation." In at least one case, in 1996, an HBCU did participate in an evaluation effort, when Coppin State College was funded to review HRSA's progress in meeting the goals for HBCU involvement, as will be discussed in the next sub-section. The Coppin State project, however, was categorized and funded as a "Special Project." Such special efforts to direct funding to HBCUs are indicative of the fact that HBCUs have not been competitive against other institutions of higher education (IHEs) for such funds through more mainstream funding mechanisms.

The second subtle finding is the fact that in FY 1997, 8.84 percent of HRSA awards to IHEs went to HBCUs. While this percentage is large in comparison to previous years and in comparison with other Federal agencies, it is quite small considering the fact that most of the HRSA funding is for "Training" and for "Student Tuition Assistance, Scholarships, and Other Aid," both of which emphasize the preparation of minority

students to enter medical or health service professions. According to, Volume 16, No. 10, July 8, 1999, HBCUs awarded 27 percent of all undergraduate degrees to African-Americans. The July 22, 1999 *Black Issues in Higher Education* reports that of the 25 top producers of medical degrees for African-Americans, 28 percent, or 167 of 590, were awarded by three HBCU medical schools: Howard University, Meharry Medical College, and Morehouse College of Medicine. With African-Americans comprising approximately only 12.5 percent of the U.S. population, and with HBCUs responsible for educating such a high percentage of African-Americans in medical and other health professions, it is evident that HBCUs should have a greater involvement with HRSA programs than the 8.84 percent of HRSA awards to IHEs as reported in 1997.

Given the expressed desire of HBCUs to receive intensive technical assistance, and the desire of HRSA to facilitate HBCU involvement with HRSA programs, based, in part, on the Coppin State College study and the 1997 Federal Performance Report, HRSA engaged the *Institute*, in October 1997, to develop, implement, and evaluate the following two methods of technical assistance delivery to HBCUs:

- Through a regional presentation, involving a total of 20 HBCUs; and
- Through a campus on-site presentation, involving 5 other HBCUs.

After 18 months of the development and implementation efforts, related to the provision of technical assistance, this report documents the results of the processes and outcomes of the HBCU demonstration and evaluation project sponsored by HRSA.

B. RATIONALE FOR THE PROJECT

1. The Need for Technical Assistance

As previously indicated, findings from the 1996 Coppin State College study, about the failure of HRSA in meeting its established funding goals, served in part, as the rationale for the project. Further, the Coppin State study revealed that many HBCUs are not aware of HRSA priorities; lack an understanding of how to compete for funding when the institution's programmatic capabilities meet HRSA's needs, or do not have administrative processes in place that permit them to respond to HRSA's Request *for Applications* in a quality and timely fashion. It has also been documented that, often HBCUs are not aware of internal HRSA resources available to them, such as the provision of copies of successful applications, which are available upon request from the Freedom of Information Office, or the willingness of HRSA program officers to assist HBCUs, and other IHEs, in the preparation of grant applications, by the sharing of knowledge about the general expectations of proposal review panels.

In summary, given the limited awareness and knowledge which exists among HBCUs about the programs of HRSA, as documented in the Coppin State study, and through discussions and subsequent surveys of HBCUs, the need for technical assistance provision is evident if an increase in HBCU involvement in the programmatic activities of HRSA is to occur. How such technical assistance should be provided is the focus of the current project on the evaluation of diverse methods.

2. The Need to Evaluate Methods of Technical Assistance

Since 1994, HRSA has had several discussions with HBCU faculty and administrators, mainly at conferences and similar meetings, in an effort to find out what types of technical assistance might be most useful to these institutions. Typically, discussions took place in the context of HRSA's overall response to the White House and Departmental initiatives for HBCUs. In summary, these discussions led to the general

understanding that many HBCU administrators and faculty believed that, previous technical assistance made available by HRSA often did not meet their most significant needs. Thus, when establishing the parameters of the current technical assistance effort, HRSA was able to consider many of these expressed concerns. However, rather than taking for granted the appropriateness of the current approaches to technical assistance, HRSA has made evaluation a major component of the technical assistance effort, for which the *Institute* was engaged to implement. Such evaluation is necessary for at least two major reasons:

- HRSA has a general responsibility to determine whether each applied approach to technical assistance actually meets the objectives of the assistance; and
- For the sake of efficient and effective program management, HRSA must examine the two approaches that currently appear to be most feasible, to determine whether there is any clear benefit to pursuing one approach rather than the other.

Accordingly, the current effort has been driven by well defined project objectives, described in the following section, and other sections, which address these needs for evaluation, as well as the needs of HBCUs for technical assistance.

II. OBJECTIVES FOR THE PROJECT

In pursuing the tasks for evaluation of the current project, which is designed to demonstrate the effectiveness of diverse methods of technical assistance provision to HBCUs, in an effort to enhance their capacity for increased involvement with HRSA programmatic activities, the *Institute* for College Research Development *and Support* was guided by two types of objectives, which are closely related to each other:

- The *general* objective, which established the ultimate focus of the project and the global purpose that was to be served by the effort; and
- The *specific objectives*, which established the focus for individual processes and outcomes that should be met as a result of implementing the project tasks.

Typically, the global nature of the general objective does not lend itself to direct measurement and, therefore, is usually not stated in full measurable terms. By contrast, the specific objectives are often, though not always, stated in full definable, measurable terms. For the current project, all of the specific objectives are measurable, and mainly are of a process nature. It should be noted that during the course of the project, the following contractual actions occurred which had an impact on the time frames for attaining both the general and specific objectives:

- A third component, involving the provision of *follow-up technical assistance* to the HBCUs was added to the project; and
- The two initial project components of evaluation and demonstration were extended from 15 months to 21 months.

The net effect of these above actions resulted in a project which has a total project performance period of 24 months. This report, however, chronicles only those activities which occurred during the first 21 months.

A. GENERAL OBJECTIVE

- To determine, by the end of 22 months, the most effective method of providing technical assistance to HBCUs, that will significantly increase their involvement with the programmatic activities of HRSA, especially in the acquisition of grants and contracts, through the evaluation of regional workshop presentations and evaluation of the presentations made on-site at the campuses of select HBCUs.

B. SPECIFIC OBJECTIVES

(1) To produce a detailed Work Plan, by the end of month 2 from the effective date of the contract (EDOC), which describes the procedures to be used in the development and implementation of the regional workshop presentations, the presentations made on-site at the select HBCU campuses, and the evaluation of both presentation methods. *This objective was attained as established.*

(2) To complete, by the end of month 6 from the EDOC, an assessment of needs for technical assistance among the HBCUs selected to.participate in the demonstration *effort. This objective was attained by the end of month 7.*

(3) To complete development, by the end of month 8 from the EDOC, the content and format for the workshop presentations. *This objective was attained by the end of month 9.*

(4) To complete development, by the end of month 11 from the EDOC, all of the materials that are to be used in the workshop presentations, both regional and on-site. *This objective was attained as established.*

(5) To select and receive commitment, by the end of month 10 from the EDOC, those persons who will serve as facilitators for the workshop presentations. *This objective was attained by the end of month 1 1.*

(6) To complete, by the end of month 12 from the EDOC, the conduct of two regional technical assistance workshop presentations. *This objective was attained by the middle of month 14.*

(7) To complete, by the end of month 15 from the EDOC, the conduct of five technical assistance workshop presentations on-site at five selected HBCUS. This objective was attained *by* the middle *of month 17.*

(8) To produce a Draft Final Evaluation Report, by the end of month 22 from the EDOC, documenting the implementation of the technical assistance, and providing a description of the evaluation data and evaluation findings regarding the effectiveness and relative merits of the diverse technical assistance methods. *This objective was attained by the end of month 22 from the EDOC,* as *established.*

(9) To produce a manuscript, by the end of month 24 from the EDOC, describing the demonstration and evaluation project and its results in a format suitable for publication in an appropriate professional journal. *As of the writing of this report, this objective has not been attained, but is on schedule.*

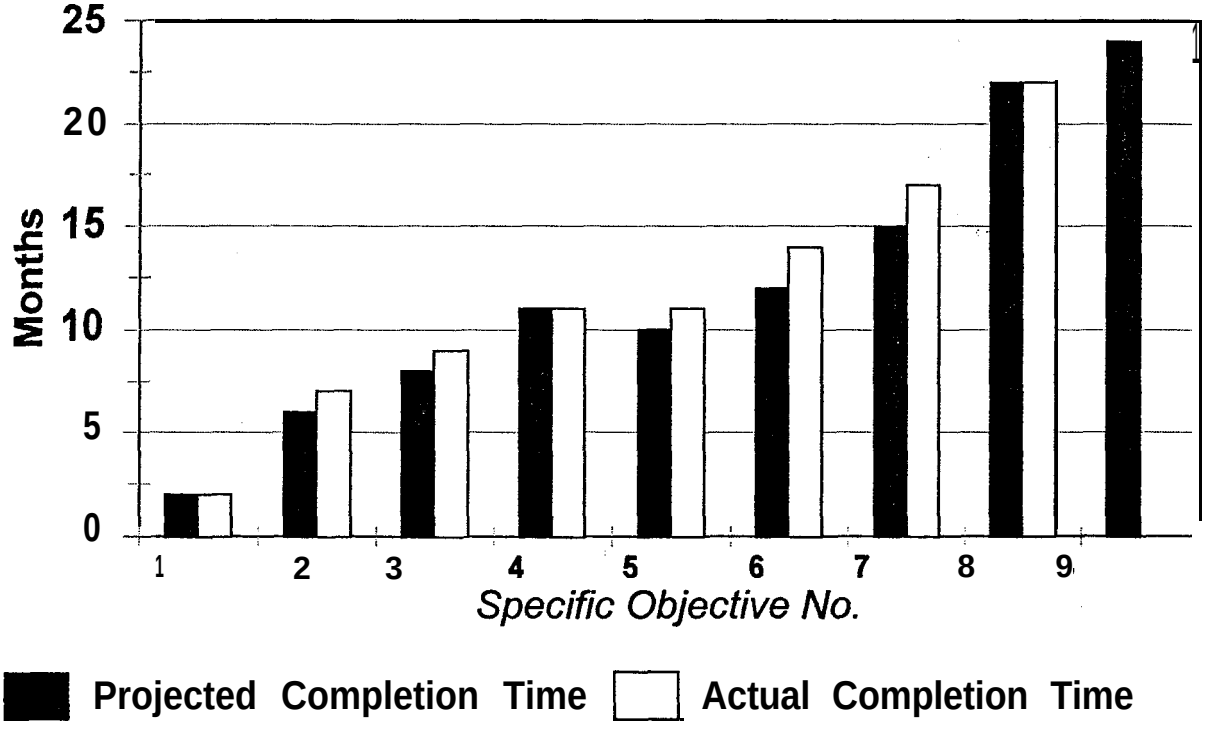
Figure 1 on the next page provides a graphic comparison of the projected completion time for each of the specific process objectives with the actual completion time for these objectives. Although there were unexpected occurrences in the pursuance of some of the specific process objectives, as can be seen, of the nine specific objectives, three were completed as projected, three were completed just one month from the

projected date, and two were completed two months after the projected time. The ninth specific objective is on schedule for completion by the date projected. It should be noted that specific objectives 6 and 7, which are related to the conduct of both the regional and HBCU on-site workshop presentations, were those that required two months beyond the projected date for completion. This mainly was due to scheduling conflicts with the HBCUs, and the participants from those institutions who would be in attendance at the various workshop presentations.

In addition to the referenced specific process objectives, established for implementation of the overall effort, there also were objectives set for the workshop and for the evaluation of the project. These objectives appear in their respective sections of this report.

Figure 1

Comparison of Projected Versus Actual Completion Times For Specific Project Objectives



III. DEVELOPMENT OF THE PROJECT

A. ASSESSING HBCU NEEDS FOR TECHNICAL ASSISTANCE

1. Background for the Assessment

As indicated by the general objective set for the project, the primary intent of the effort is to determine the best method of ultimately providing technical assistance to all of the nation's HBCUs, as related to the programmatic activities of HRSA. Before such a determination could be made, however, it was necessary to develop a program of technical assistance that would be responsive to the needs of the targeted HBCUs. Accordingly, the Institute formally conducted an assessment of these needs with each of the institutions selected to participate in the project. Although a discussion of how the HBCUs were selected for participation in this technical assistance effort is presented in a subsequent section, the basic parameters for the selection process included the following:

- identification of a list of HBCUs who could benefit from HRSA technical assistance, based on established criteria;
- Identification of a list of HBCUs that fall into certain institutional categories, such as public, private, large, or small;
- Matching HBCUs that were comparable in size and private institution status;
- Matching HBCUs that were comparable in size and public institution status, and
- Selecting HBCUs to receive technical assistance through campus site visits that were in categories comparable to those HBCUs selected to receive technical assistance through a regional presentation.

it should be noted that it was the desire of HRSA for 20 HBCUs to be involved in a regional provision of technical assistance, and for 5 HBCUs to be involved with provision on-site at their campuses.

In conducting the assessment of needs, each of the 25 potential HBCU participants in the project were initially contacted by telephone to determine their perceptions of need, as well as to determine their interest in participating in the project. This initial contact was made to the director of sponsored program offices (SPOs) from each of the selected institutions. A sponsored programs office is one which has responsibility, at institutions of higher education, for acquisition of grants and contracts, inclusive of proposal development, and for the administration of those awards. Some of the key elements in developing the needs assessment process were as follows:

- Identifying appropriate sponsored programs officers to be interviewed;
- Asking sponsored programs officers to identify the specific needs of their respective institutions;
- Asking sponsored programs officers how HRSA could better serve the needs of HBCUs;
- Asking sponsored programs officers to recommend a faculty member(s) to participate in the technical assistance effort;
- Asking sponsored programs officers to offer input on structuring a site visit scheduled at their respective institution; and
- Asking sponsored programs officers to make suggestions on topicareas that would help shape the workshop agenda.

In order to gather more specific information about the above issues, an *Interview* Protocol was developed by the *Institute*. This allowed for standardized questions to be asked of each HBCU interviewee. A copy of this protocol appears as Appendix A.

Assessment of the HBCU needs took into account that the project had two initial major components: (I) *demonstration* and (2) *evaluation.* Therefore, in addition to collecting information which might ensure that the provision of technical assistance would be appropriately beneficial to the workshop attendees from the participating HBCUs, information would also have to be collected that would provide some baseline data about each institutions' prior involvement with HRSA and the desired areas on which the technical assistance intervention should be focused. Given the importance of developing a meaningful program of technical assistance that might be adequately measured for effectiveness, assessment of the HBCU needs was a first step in the evaluation process, and was guided by the following objectives:

1. To obtain up-to-date contact information from the director of sponsored programs at each participating institution;

2. To obtain a description of the structure and level of development of the sponsored programs administration at each participating institution;

3. To determine the relative importance of several topics, selected by the *Institute,* believed to be relevant needs;

4. To identify any additional needs of each participating institution, specifically related to the abilities of faculty to compete for HRSA funding or capabilities of the sponsored programs administration to assist faculty in pursuing HRSA funding;

5. To identify the five institutions willing to receive technical assistance via site visits to their campuses;

6. To identify the twenty institutions willing to receive technical assistance via a regional workshop presentation, ensuring a matching of basic institutional characteristics between the institutions selected for regional workshop presentations and those selected for workshop presentations during a campus site visit; and

7. To obtain any additional suggestions from the HBCUs regarding the form and content for design of the technical assistance program.

In addition to being guided by the above objectives for the HBCU assessment of need, the *Institute* also took into consideration the following goals of HRSA for increased involvement of HBCUs in its programmatic activities:

- To help HBCUs compete more effectively for HRSA grants and contracts;
- To help ensure access of minorities and disadvantaged groups to primary health care; and
- To support HBCUs so that they can carry out educational, research, and service activities that are sponsored by HRSA.

2. Results of the Needs Assessment

Of the 25 HBCUs initially selected as potential participants in the HRSA technical assistance effort, 20 HBCUs were ultimately interviewed. As previously indicated, each of the institutions to be interviewed would be contacted by telephone to: (1) determine their interest in participating in the project, and (2) determine their perceived needs for increased HRSA programmatic involvement. Additionally, the interviews would allow for a determination to be made as to which schools would be a part of the regional presentations, and which schools would be site visited for the technical assistance provision.

While the 20 interviewed HBCUs expressed differences in the needs of their respective institutions for increased HRSA involvement, they all concurred that they needed to improve on their ability to attract new funding sources and to enter into partnerships with Federal agencies such as HRSA. Table 2 presents a listing of the top six technical assistance needs, ranked in order of importance by the SPO directors at the selected HBCUs, based on a tabulation of their responses from the interviews.

TABLE 2

Number of Interviewed HBCUs Expressing Interest in Anticipated Technical Assistance Topics

Technical Assistance Topic	Number of Interviewed HBCUs Expressing Topic Interest
Strategies for producing competitive proposals	20
Strategies that an HBCU might use to develop or market project ideas for HRSA funding	20
Strategies for efficient management and administration of grant and contract awards	20
HRSA's particular procedures for reviewing grant applications	19
More specific information on HRSA programs and their aims	19
Typical funding cycles for HRSA programs	18

Additionally, during the needs assessment interviews, the SPO directors also were asked to suggest other topics for inclusion in the technical assistance workshop. Some of the suggestions were variations on the anticipated topics that had already been discussed. However, 16 of the topics were distinctive in their content or their specificity. Those topics, which are listed below in Table 3, helped in establishing the content and structure for the program of technical assistance. The only suggested topics that were not specifically accounted for in the design of the technical assistance effort were those issues related to the internal politics of HBCUs. While many HBCUs face internal barriers to participation in Federal programs, such issues tend to be at least somewhat unique at each HBCU, so that they are not well suited to assistance that is designed for presentation to large numbers of institutions. A detailed discussion regarding the ultimately determined content for the technical assistance effort appears in a subsequent section.

Table 3

Other Technical Assistance Topics Suggested by Targeted HBCUs

Technical Assistance Topic
Identifying funding opportunities other than those posted on agency web sites
How to participate in the contracting arena of project funding
Understanding the nature of particular programs and what they are likely to fund, rather than just listing program names
How to build institutional capacity/infrastructure for HRSA program participation
How to obtain advance notice of important HRSA funding opportunities, prior to their official announcement
Development funding and institutional fundraising
General requirements for management of Federal grants and contracts
Overcoming internal institutional resistance to sponsored programs administration
Securing internal cooperation in the management of fiscal affairs
How to establish productive relationships with funding officials
Identifying the necessary technical equipment for particularly projects
Development of collaborations with other colleges and universities
Provision of incentives/time management for faculty involvement in sponsored programs
Technical assistance that is hands-on/one&one, tied to specific funding
Actual review and provision of feedback on draft proposal, regarding design of the proposal, appropriate "buzz words," relative importance of different sections of the proposal, and any other factors of competitiveness
Provision of examples of successful proposals
HRSA's peer review process

B. THE WORKSHOP AS AN INTERVENTION

According to the title of the project, the intent of the effort is to "determine the effectiveness of diverse methods of technical assistance provision to historically Black colleges and universities (HBCUs)". It should be noted, however, that the term diverse *methods* is a misnomer, in that *workshop presentation* had already been predetermined, by HRSA, as the *method* of choice. This is evidenced in the general objective established for the project, which espouses the global focus of the effort. Thus, for the context of this evaluation, diverse methods refer to two types of workshop presentations: (1) the regional *presentation* and (2) the *on-site campus presentation.* Overall, *workshop presentation* should be considered an *intervener* in the efforts of HBCUs to become more competitive in their pursuance of grant and contract awards from HRSA. The ultimate, or primary question, then, with respect to the intent of the project, is to determine if it is better to provide technical assistance to HBCUs through a regional presentation or is it better to provide it to them on-site at their campuses?

Further, given the two initial components of the project, *demonstration and evaluation,* it will be necessary to determine how effective is the workshop presentation itself? In other words, there is a need to measure whether the format, content, and facilitation of the workshop has had an impact on the participating HBCU attendees, regardless if the presentation was made regionally or on-site at a campus. More specifically, the project has been designed to demonstrate that an intervention, such as a workshop, can be effective in providing technical assistance to HBCUs, and, at the same time, to determine which type of presentation is more effective. It should be noted that *provision of follow-up technical assistance,* earlier referenced as the third component subsequently added to the project, became an extension of the workshop, as an intervention.

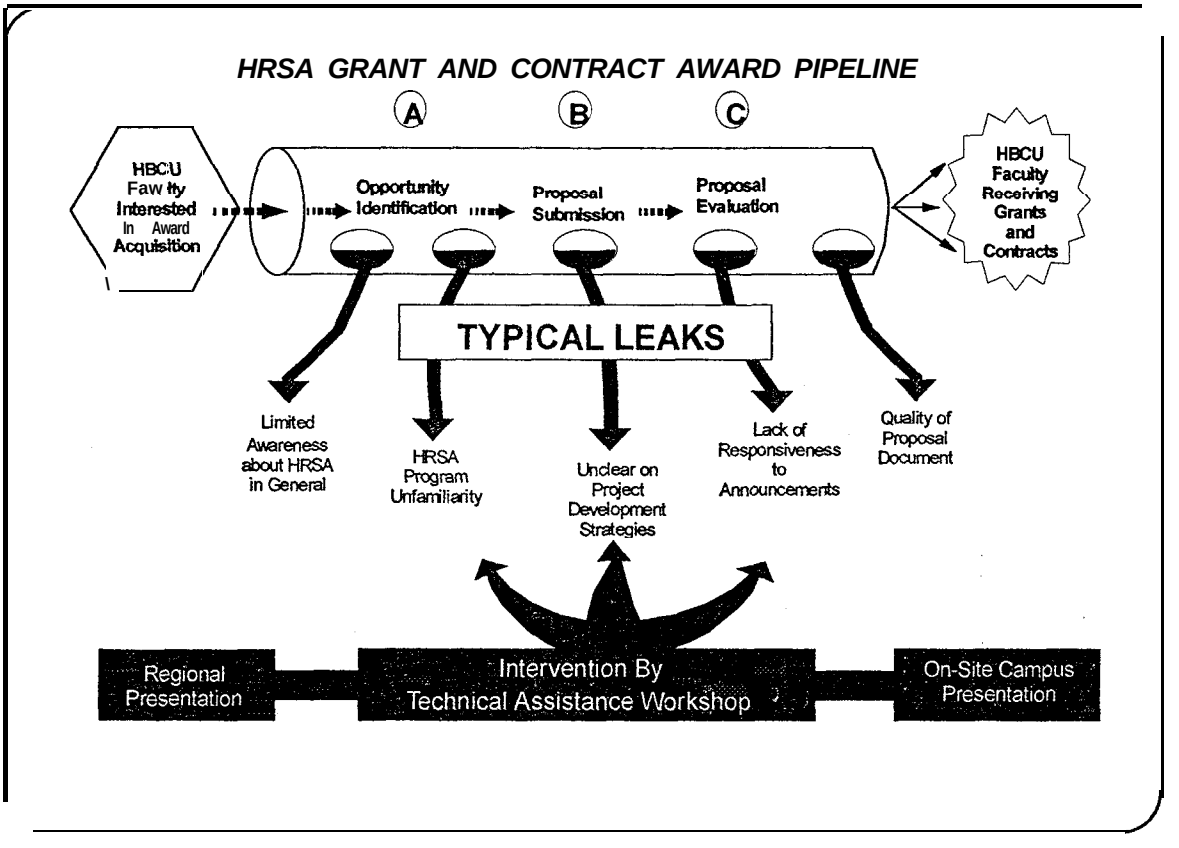
In an effort to put the general objective of the project into perspective, the *Institute* was guided by a working model known as the "leaky pipe". This model, which was developed in 1981 by Reid Jackson, the project director for this demonstration and evaluation effort, provides a theoretical guidance, or conceptual framework, for preliminary selection of variables that can be incorporated into a logic model for determination of intermediate and final outcomes of the project. A detailed discussion about development of the logic model appears in a subsequent section. With respect to the *leaky pipe* working *model,* it is based on an analogy of the HRSA grant and contract award system as a pipeline. As illustrated in Figure 2, this pipeline is externally impacted by the two types of workshop presentations, which might serve as interventions. The intent of these interventions is to plug the holes causing the leaks. As can be seen, HBCU faculty interested in pursuing an award enter at the beginning of the pipe, and HBCU faculty who are award recipients leave at the end of the pipe. Between entry and exit from the system, there are a number of possible pathways out of the system. These are illustrated as the holes in the pipe, which lead to leaks in the system. The leaks, which represent the assumptions as to why HBCU faculty are often unsuccessful in acquiring HRSA grant and contract awards, can occur at three junctures: (A) Opportunity Identification, (B) Proposal Submission, and (C) Proposal Evaluation. The size of the holes in the pipe, it should be further noted, differ for each type of leak, and are different in many instances for HBCUs, in comparison to majority institutions. For example, in fiscal year 97, according to records from the HRSA Grants Management Office, the percent of applications to HRSA by HBCUs that were rejected due to non-competitive proposal submissions, was much greater when compared to the percent for majority institutions, that were rejected for this same reason. Relating this to the pipeline concept, this illustrates that the leak in the pipe for non-competitive proposal submission is typically larger for HBCUs.

As can be seen, the leaky pipe working model has been very helpful in giving focus to the types of data which needed to be collected and to the analysis of that data.

Figure 2

LEAKY PIPE MODEL

Working Model for Evaluation of Diverse Methods for Technical Assistance Provision to HBCUs



Typically, for an evaluation study using the pipeline model, data would be collected at each juncture. For this evaluation effort, however, the *leaky pipe working model* mainly has served to illustrate the parameters of the general objective, that have given rise to development of the logic model, earlier referenced. Like the holes in the pipeline, the logic model encompasses the major assumptions as to why HBCUs have limited participation in the grant and contract processes of HRSA. Additionally, it should be noted that the logic model addresses more than receipt of contract and grant awards as a means of determining increased HBCU participation with HRSA, and also includes other

programmatic involvement such as HRSA committee participation and IPA (Intergovernmental Personnel Act) involvement.

C. SELECTION PROCESS FOR INSTITUTIONAL PARTICIPANTS

The selection of HBCUs to receive the HRSA technical assistance program required that careful consideration be given to practical, political, and evaluation-related concerns. These considerations were folded into the intent of HRSA to maximize the potential impact of the workshop presentation, by focusing on HBCUs that already had some demonstrated familiarity with HRSA programs and procedures, preferably as past recipients of HRSA funding. The *Institute* followed this intent with the understanding that HBCUs with the least prior HRSA experience were also the institutions that were likely to have the greatest need for technical assistance. Given the desire of HRSA to increase the involvement of HBCUs without medical and dental schools, these institutions were precluded from participation in the project.

Initially, the *Institute* used HRSA award data to rank the HBCUs according to the number of HRSA awards they had received in FY 1996. This ranking included all 33 HBCUs that received awards in FY 1996. Out of those 33 HBCUs, 20 received only one award during that year. For the purpose of rank ordering those 20 one-award HBCUs, it was decided that the next most meaningful measure of "experience with HRSA" would be the dollar value of all awards received from 1992 to 1996, rather than just the amount of the one award received in FY 1996. Extending consideration to the earlier five years also brought in an additional 4 HBCUs, for a total of, 37 HBCUs on the rank-ordered list. The resulting rankings are shown in Table 4.

TABLE 4

Ranking of HBCUs Based on Number of 1996 Awards and Dollar Amount of 1996 Awards from HRSA*

Rank	HBCU Name	Number of 1996 HRSA Awards	Total 1996 HRSA Dollars	Total 1992-1995 HRSA Dollars
1	Hampton University	8	1,106,686	1,369,764
2	Tuskegee University	4	2,908,739	12,065,189
3	Xavier University	4	2,413,987	10,253,297
4	Prairie View A & M University	4	496,368	1,228,791
5	Florida A & M University	3	1,680,333	4,913,704
6	Texas Southern University	3	814,309	2,624,145
7	University of the Virgin Islands	3	474,376	482,882
8	Albany State College	3	319,029	468,002
9	Clark Atlanta University	3	242,383	620,382
10	Tennessee State University	3	99,872	855,467
11	Winston-Salem State University	2	305,531	985,657
12	University of the District of Columbia	2	224,084	676,545
13	Bethune-Cookman College	2	216,363	873,727
14	Southern University at Baton Rouge	1	49,138	1,402,520
15	Alcorn State College	1	17,372	1,075,598
16	Coppin State College	1	215,451	826,478
17	Alabama State University	1	155,896	725,365
18	Spelman College	1	166,531	646,518
19	Tougaloo College	1	172,899	546,383
20	Benedict College	1	149,534	496,433
21	Langston University	1	25,761	423,668

Table 4 Continued

22	Savannah State University	1	138,486	299,838
23	Paine College	1	154,181	227,245
24	North Carolina A & T State University	1	44,843	290,330
25	Trenholm State Technical College	1	161,420	168,300
26	Morris Brown College	1	146,305	92,497
27	Voorhees College	1	105,127	106,207
28	Bennett College	1	58,593	125,545
29	North Carolina Central University	1	19,080	106,679
30	Lawson State Community College	1	27,431	59,426
31	Kentucky State University	1	20,515	37,610
32	University of Arkansas at Pine Bluff	1	2,860	30,665
33	Fayetteville State University	1	12,405	0
34	Morehouse College	0	0	936,624
35	University of Maryland Eastern Shore	0	0	869,348
36	Grambling State University	0	0	849,456
37	Jackson State University	0	0	620,288

It was determined by the *Institute* that a completely random sample with random assignment to the two conditions, which were *regional* workshop presentation versus *on-campus* workshop presentation, might be politically dangerous. The rationale for this position, based on the experience of the *Institute,* was that HBCU administrators might be disappointed to know that only certain institutions would be visited directly, especially if their institution was not chosen for a visit. Therefore, the *Institute* developed a modified approach for selecting a "purposive sample" of HBCUs to participate as the full set of 25 HBCUs that were to receive technical assistance. Three dimensions of diversity were deemed to be potentially important for this selection process:

- Size, in terms of enrollment, where a large institution was defined as having 4000 students or more, and a small institution as having fewer than 4000 students;

- *Affiliation,* as either private or state-affiliated; and

- Number of *HRSA* awards, which has four natural categories in Table 1, including 1 award, 2 awards, 3 awards, and 4 or more awards in FY 1996.

Together, the 2 sizes, two affiliations, and 4 award categories yield 16 possible cells into which the HBCUs may fall, as shown in Table 5. In reality, the 37 HBCUs occupy only 12 of those cells. Given that only 5 HBCUs were to be selected for on-campus workshop presentations, the purposive sample was drawn to ensure that those 5 institutions would represent both sizes, both affiliations, and all four award categories. In order to achieve this, the HBCUs were divided into 4 groups, represented by the 4 award categories. One HBCU was to be selected from each of the "4+ awards", "3 awards", and "2 awards" categories, and 2 HBCUs were to be selected from the "1 award" category for an on-campus workshop. Initial telephone contacts *within each of these four categories* were made based on the rank order of the institutions. If the top-ranked HBCU, when given the choice between an on-campus and regional workshop presentation, preferred to participate in a regional workshop, then the next-ranked HBCU was offered both choices as well. As soon as an HBCU from a particular group accepted the offer of an on-campus workshop, the subsequently contacted HBCUs in that group were only offered the regional workshop opportunity.

As this process was applied, several institutions indicated that they were unable to participate during the anticipated time frame. Ultimately, it became necessary to extend the offer of regional workshop participation to one additional HBCU which was not on the

TABLE 5

Ranking of HBCUs Within Cells

Defined by HBCU Size, Affiliation, and Number of FY 1996 Awards from HRSA

Number of HRSA Awards in FY 1996	Size/Affiliation			
	Large/State	**Large/Private**	**Small/State**	**Small/Private**
4 + Awards	Prairie View	Hampton U.		
				Tuskegee U.
				Xavier U.
3 Awards	Florida A & M		U. of Virgin Isl.	
	Texas Southern		Albany St. Coll.	Clark Atlanta U.
	Tennessee St. U.			
2 Awards	U. of Dist. of Col.		Winston-Salem	Bethune-Cookman
1 Award	Southern-Baton R.		Alcorn State Coll.	Spelman College
	Alabama St. U.		Coppin State Coll.	Tougaloo College
	N. Carolina A & T		Langston U.	Benedict College
	N. Carolina Central		Savannah St. U.	Paine College
	Grambling St. U.		Trenholm St. Tech.	Morris Brown Coll.
	Jackson St. U.		Lawson St. Comm.	Voorhees Coll.
			Kentucky St. U.	Bennett Coll.
			U. AR.-Pine Bluff	Morehouse Coll.
			Fayetteville St. U.	
			U. MD-East. Shore	

contact list, in order to reach the desired total of 25 participating institutions. Last minute cancellations resulted in a total of only 16 regional workshop participants. Table 6 presents the selection characteristics of the 16 institutions that ultimately participated in the regional workshop presentations and the 5 institutions that participated in the on-campus workshop presentation. As the table shows, the institutional participants ultimately did comprise a diverse group.

TABLE 6

Profiles of HBCUs Selected for Participation in Regional Workshop and On-Campus Workshop Presentations

HBCU Name	HBCU Characteristics	Workshop Type
Albany State University	3 awards, Small., State	On-Campus
Jackson State University	1 award, Large, State	On-Campus
North Carolina Central University	1 award, Large, State	On-Campus
Tuskegee University	4+ awards, Small, Private	On-Campus
Winston-Salem State University	2 awards, Small State	On-Campus
Benedict College	1 award, Small, Private	Regional, Silver Spring, MD
Bennett College	1 award, Small, Private	Regional, Silver Spring, MD
Fayetteville State University	1 award., Small., State	Regional, Silver Spring, MD
Kentucky State University	1 award, Small, State	Regional, Silver Spring, MD
South Carolina State University	0 awards, Large, State	Regional, Silver Spring, MD
Tennessee State University	3 awards, Large., State	Regional, Silver Spring, MD
University of the Virgin Islands	3 awards, Small, State	Regional, Silver Spring, MD
Voorhees College	1 award, Small, Private	Regional, Silver Spring, MD
Universitv of the District of Columbia	2 awards, Large State	Regional, Silver Spring, MD
Alabama State University	1 award. Larae. State	Regional. New Orleans. LA
Alcom State University	1 award, Small, State	Regional, New Orleans, IA
Bethune-Cookman College	2 awards, Small, Private	Regional, New Orleans, LA
Grambling State University	1 award. Larae. State	Regional, New Orleans, LA

Continuation of Table 6

Langston University	1 award, Small, State	Regional, New Orleans, LA
Morris Brown College	1 award, Small, Private	Regional, New Orleans, LA
Texas Southern University	3 awards, Small, State	Regional, New Orleans, L4
Tougaloo College	1 award, Small, Private	Regional, New Orleans, LA

D. SELECTION PROCESS FOR INDIVIDUAL PARTICIPANTS

Selection of the appropriate faculty members from selected HBCUs for participation in the technical assistance workshop presentations was made entirely by each of the institutions agreeing to take part in the project. For both presentation methods, regional and on-site, the directors of the sponsored programs office (SPO) served as the initial contact. These were generally the same persons who had participated in the needs assessment effort. The standard procedure used, after contacting the SPO, for selection of the individual workshop participants from each of the selected HBCUs, was as follows:

I. A request was made by the SPO to the chairpersons of departments, such as nursing, biology, allied health, psychology, chemistry, and health education, for the names of their faculty members who might be appropriate for the workshop. Typically, the chairpersons submitted the names of faculty, based on their research interests that would be in the realm of the institution's capability to support.

2. After receiving the faculty names from the chairpersons, the SPOs selected persons from this group who were believed to be the most appropriate for participation in the workshop. For those HBCUs scheduled for the regional workshop presentations, a single faculty member was selected. For the

HBCUs scheduled for an on-site presentation, eight to ten faculty members from each institution were selected.

3. The names of the selected faculty members scheduled for both the regional and on-site workshop presentations were then forwarded to the *Institute* by the SPOs.

4. Upon receiving the names of the proposed faculty participants from the SPOs of those HBCUs scheduled for the regional workshop presentations, the *Institute* forwarded a letter to each of these individuals, which notified them of their selection to attend a designated workshop and which also provided them with the parameters for their participation in the effort. This mainly involved conveying that, as a condition for participation in the workshop, depending on whether the selected faculty person was scheduled for a regional or on-site workshop presentation, a commitment would have to be made for a proposal to be ultimately submitted to HRSA. For the selected regional workshop participants, at least one proposal was expected from each HBCU in attendance. For the on-site presentations, depending on the number of faculty in attendance, four to six proposals from each HBCU were expected.

5. A booklet that provided an overview of HRSA, its mission and the associated programs of its bureaus, as well as a HRSA grants announcement periodical, titled the Preview, were also sent with the notification letter. For those HBCUs scheduled for on-site presentations, a letter describing the parameters for the participation of their selected faculty in the workshop was sent to each SPO. Ten sets of the HRSA overview booklets and the *Preview* were also sent to the SPOs for distribution to the selected faculty. Thus, the responsibility, of those HBCUs scheduled for on-site presentations, resided with the SPOs for

notifying the selected faculty about their selection for participation, and for distribution of the informational materials.

6. Follow-up telephone calls were made to those selected faculty members who did not respond in a timely manner to the requests for information made in the notification letter, or by the SPO.

It should be noted that, HRSA was desirous of having faculty participate in the workshop presentations who could serve as a principal investigator, or project director, and who might ultimately submit a proposal to the agency, or who might become involved with other HRSA programmatic activities. Further, HRSA was desirous of having each faculty participant come to the workshop with an idea for a project they might pursue through HRSA. The rationale for this request was that, at some point during each workshop presentation, HRSA wanted the faculty participants to meet in a one-on-one manner with representatives from their various bureaus. It was envisioned that such one-on-one meetings would match the project idea of the HBCU faculty participants with a representative from the bureau having programmatic responsibility for the potential project. The effort to implement this matching process, however, proved to be tedious, and sometimes problematic. Primary reasons for these problematic occurrences, based on experience and on responses from the SPOs and selected faculty members, were as follows:

- Need for clarification about program opportunities within the various HRSA bureaus, that were presented in the Preview.

- Lack of experience in developing a project concept which might merit the award of funding.

- Difficulty in identifying program opportunities within HRSA which might relate to the research interests of the selected faculty participants.

- The time interval between final selection of the faculty from those HBCUs scheduled for the on-site presentations and the scheduled time for the workshop on their campuses was often short, thus, not allowing sufficient time for effectiveness of the matching process.

When a faculty member selected for participation in the workshop experienced a conflict in his or her schedule that prevented attendance, an alternate was sent to the workshop. Ultimately, there were 16 selected HBCU representatives who attended the regional presentations, and 35 selected representatives who attended a workshop presented at a campus site. Of these 51 official participants, 46 were faculty members and 5 were administrators. The majority of these participants had limited prior proposal development experience. Their academic backgrounds spanned a wide range of disciplines, inclusive of the health professions, health education, the natural sciences, physical sciences, and the behavioral sciences. About 72 percent of these individual participants had a terminal degree. Thus, at each of the seven workshop sites, the selected individual HBCU participants were homogenous, or comparable in their backgrounds, both academically, and in proposal development experience.

E. SELECTING THE WORKSHOP SITES

Given that the sites for presentation of the workshop at the five selected HBCU campuses were dictated by their location, workshop site selection was limited to the regional efforts. This selection of the two regional sites was one of the first tasks undertaken in preparation for the workshop presentations, because they were scheduled for conduct before the five on-site presentations.

Selection of the regional workshop sites involved a two step process: (1) selection of a city, and (2) selection of a facility. The city selections were important for the

convenience of the selected HBCUs, as well as for cost considerations. Recommended cities included Atlanta, Georgia; New Orleans, Louisiana; Washington, DC metropolitan area; and Baltimore, Maryland. The two cities that were ultimately selected were Silver Spring, Maryland and New Orleans, Louisiana. These cities were chosen based on availability, costs, proximity to selected HBCUs and the availability of the government per diem rate.

Although the Scope of Work for the project suggested the use of HBCU facilities for the technical assistance workshop presentations, it was recommended by the *Institute*, based on past experience, that a hotel facility will allow for greater convenience of the participants, as well as enhance the potential for the success of the effort. The Project Officer agreed to rely on the judgement of the *Institute* in making this decision. The principal criteria for selection of a facility in the chosen cities were the following:

- Proximity of the facility to a majority of the HBCUs that would participate;
- Adequate meeting rooms for large group sessions involving the entire participant group, as well as sufficient break-out rooms for interactive one-on-one discussions;
- Sufficient capacity to provide lodging and meals for the expected numbers of participants;
- Convenient access to participants regionally, including access to the facility via air and ground transportation routes;
- Accessibility to the handicapped;
- Copying facilities and the availability of audio-visual equipment;
- Adequacy and variety of dining facilities and menus; and
- Acceptance of the Federal per diem rate.

F. CONTENT FOR THE WORKSHOP

The content for the workshop was planned and developed so that what would be presented at the regional sites would be the same for the HBCU on-site presentations. This was done so that comparable data regarding effectiveness could be collected from both type sites. Accordingly, seven sessions were developed to address the needs of the HBCUs for increase of their involvement with the programmatic activities of HRSA. The determination of these needs were based on three factors:

(1) A direct assessment of the HBCU SPO directors, as were expressed during a telephone interview;

(2) The desire of HRSA to liberally present specific information on the programs within their various bureaus, and on the grant processes for acquiring funding related to these programs; and

(3) The experience of the *Institute*, gained over the years, regarding the needs of HBCUs for enhancement of efforts to increase their involvement in Federal sector programs.

In an effort to satisfy the needs of the HBCU participants, based on the above factors, the seven sessions, described below, served as the basis for the workshop content.

- *Session I* was designed to provide information about the award processes within HRSA, including contracts, grants and cooperative agreements.

- *Session* II was developed to provide information on how opportunities for awards from HRSA might be identified from print and electronic sources.

- *Session III* allowed for standardized presentation of information by representatives from the various HRSA bureaus about (a) the mission and organizational, structure of their bureaus, (b) the current programs in operation by each of the bureaus, with special focus on new initiatives, and (c) the types of program funding that institutions of higher education typically receive.

- *Session IV* was designed to provide information to the HBCUs on the importance of being able to assess the capabilities of their institutions for pursuance of the various award opportunities within HRSA, and how such an assessment might be made.

- Session V was developed for the presentation of specific and detailed information about the grant application process within HRSA, including information about what the grants officer does when an application is received.

- *Session* V/allowed for information to be presented on how grant applications are evaluated within HRSA, including the review committee process and the criteria they use.

- *Session VII* was designed to provide detailed information about how a successful grant application might be prepared, including preparation of the business portion, and writing the technical proposal. During this session, time would be allowed for the HBCU participants to meet one-on-one with the HRSA mentors regarding their preselected topics for a project.

It should be noted that a formative process was used in the presentation of the sessions, and their associated topics, from the first workshop to the seventh workshop. In

other words, efforts were made after each workshop to modify the content and presentation of the topics from one workshop to the next, based on responses from the feedback forms completed by the HBCU participants, and from observations by the facilitators. The intent of these observations was to determine whether modification to some of the topical presentations might enhance the HBCU learning experiences. In fact, the changes were specifically designed to promote the opportunity for gain in awareness and knowledge by the HBCU workshop participants. An example occurred in Session VII, involving presentation of a proprietary proposal development process, known as the KATE method. From the two regional presentations through the first on-site presentation, the length of time allotted for content presentation of *KATE* was increased, and the day for presentation was changed from Day 2 to Day 3. These modifications for an increase in presentation time for *KATE,* which is an acronym for *Kiss And Tell Everything,* or *Keep if Simple And Tell Everything,* emanated from verbal requests by the HBCU participants and from their responses on the feedback forms. The *KATE* method was developed in 1977 by Reid Jackson, the director of this demonstration and evaluation effort, and has proven, over the years, to be an effective process for production of competitive proposals.

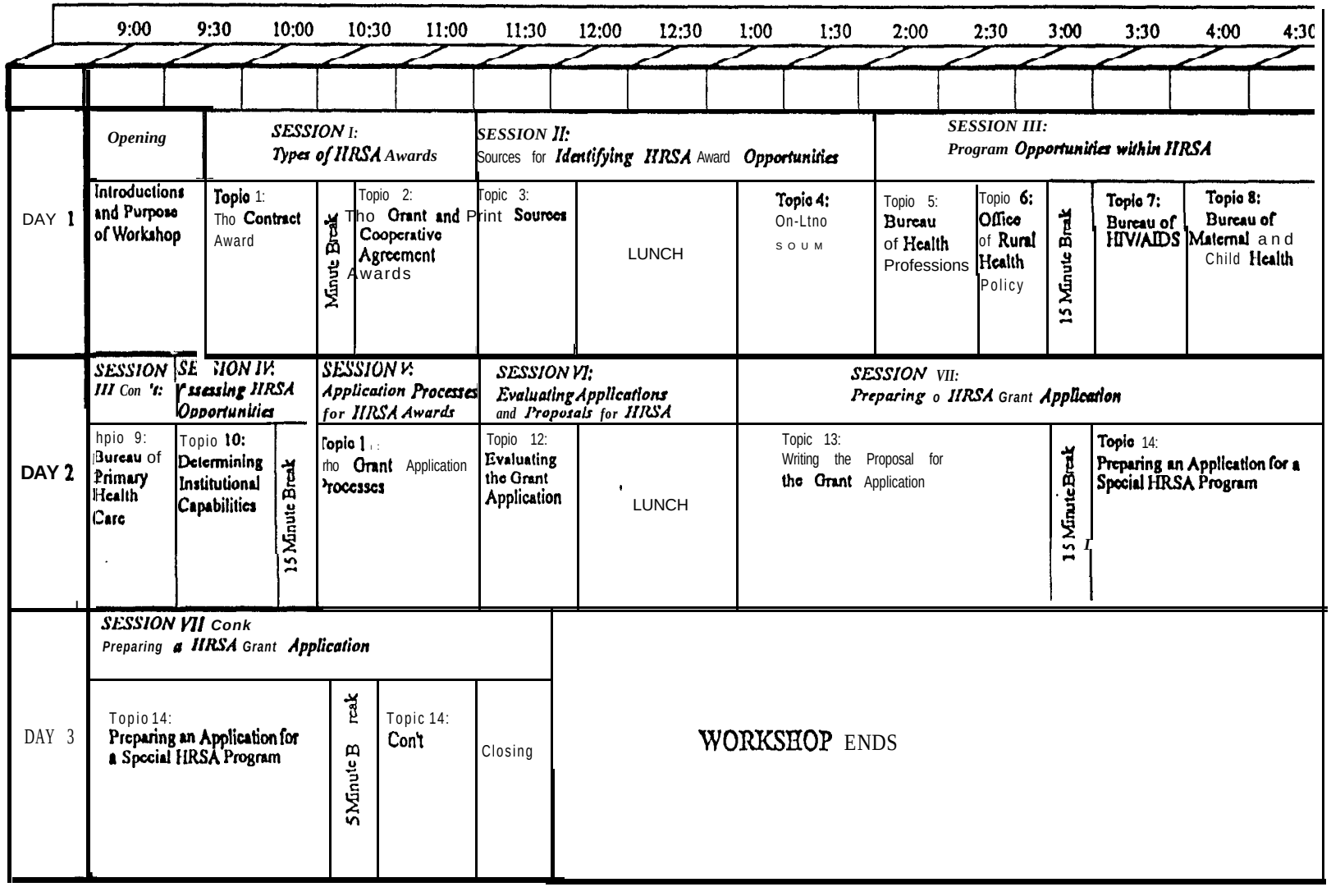
G. STRUCTURE AND OBJECTIVES FOR THE WORKSHOP

For both the regional and the on-site efforts, the structure of the workshop involved presentation of the seven sessions over a two and one-half day period. Within each of these sessions, related topics were used to present content information. Allocation of a specific time frame was made for each topic. A schedule of these topics and their associated time frames, over the two and one half days, appears on the next page as Figure 3. As illustrated, Day 1 and Day 2 started at 9:00 a.m. and ended at 4:30 p.m., with a 15 minute break for the morning and afternoon sessions, in addition to a one hour lunch break for those days. Time also was allocated on day 1 for introductory remarks to be made about the workshop purpose, and for self-introductions of the HBCU participants, the

Figu
Typical Schedule of Workshop Topics

HRSA TECHNICAL ASSISTANCE WORKSHOP FOR HBCUs

SCHEDULE OF TOPICS



HRSA staff, the peer facilitators, and the *Institute* staff. During this opening session, the following objectives for the workshop were presented to the HBCU workshop participants:

- To provide an overview of the types of awards made by HRSA, such as contracts, grants, and cooperative agreements.

- To provide an overview of the types of programs at HRSA offered through their five bureaus.

- To provide an overview of the grant application process, including the application itself, the review process, and the proposal evaluation process.

- To provide a working knowledge of the proposal development process known as KATE.

- To develop the conceptual framework for a proposed project, which relates to the programmatic offerings of HRSA, as presented in their grant announcement/brochure.

H. DEVELOPMENT OF WORKSHOP MATERIALS

All of the materials developed for use in both the regional and the on-site presentations, were designed to follow the seven sessions, and their associated topics, described above in the preceding section. For each topic, one or more activities were developed, inclusive of *activity* objectives and *behavioral objectives.* The latter objectives were established to let the HBCU participants know what behavior, related to each topic, they were expected to exhibit after taking part in the activity. For the 14 topics which were presented, 37 activities were developed. An example of an activity sheet for the workshop

Figure 4

Example of A Typical Activity Sheet

SESSION I
Types **of HRSA Awards**

TOPIC 2: The Grant and Cooperative Agreement Awards Process

ACTMTY 4: Defiig the Grant Award

Activity Objectives:

(1) To provide the general definition of a *Federal Grant* to the workshop participants.

(2) To provide an understanding between a *Formula Grunt* and a *Project Grant*

(3) To present an understanding, and working knowledge, of the *Competitive Grant* process to the workshop participants.

Behavioral Objectives:

At the end of the activity, each participant should be able to:

(1) Give the general definition of a Federal grant.

(2) Possess a working knowledge between a *Formula Grant* and a *Project Grant*

(2) Possess a working definition of a Competitive grant, and how they might be applied for.

Materials:

- Hand-outs

Activity Process:

- Didactic an Slide Presentations
- Group Discussions

appears as Figure 4. All of these activity sheets were placed in a three-ring binder, along with other informational documents, which served as background for a particular topic.

Together, these activity sheets and additional materials comprised the *Activity Book* that was distributed to each of the HBCU participants. In response to the requests made by the HBCU participants for a greater exposure to KATE, the systematic proposal development process, a separate *supplemental activity book,* on this process, was developed after the regional presentations. Thus, the *Activity* Book, and the KATE supplement, were used as the primary materials throughout the remainder of the on-site presentations.

I. THE WORKSHOP FACILITATORS AND MENTORS

In an effort to maximize the presentation of the topics at each workshop site, *facilitators* from three organizations were used: (1) HRSA, (2) the *Institute,* and (3) selected HBCUs. Additionally, HRSA staff also were selected to serve as *mentors* during one-on-one sessions with the HBCU participants, based on the preselected project topics by these participants. A listing of all the facilitators appears as **Appendix B.** Following is a discussion about each of these workshop presenter groups.

1. The HRSA Staff

According to feedback from the HBCU participants, in both the regional and on-site presentations, one of the key values from the technical assistance effort was the opportunity to learn directly about HRSA from persons in key positions within HRSA. At the two regional workshop presentations, as well as the five on-site presentations, about twelve to fifteen HRSA staff participated as facilitators and/or mentors. Although different representatives from the various bureaus might have changed from workshop to workshop,

for the most part, there were eight core HRSA staff who participated in at least 5 of the 7 workshop presentations, These core staff, serving as facilitators or mentors, represented the following HRSA offices or bureaus:

- HRSA Office of Minority Health
- HRSA Contracts Office
- HRSA Grants Office
- Office of Rural Health Policy
- Bureau of Health Professions
- Bureau of HIV/AIDS
- Maternal and Child Health Bureau
- Bureau of Primary Health Care

2. The HBCU Peer Facilitators

It was the desire of the Project Officer that the *Institute* make maximal use of HBCU personnel, including faculty or administrators, as facilitators in the workshop sessions. Additionally, the *Institute* recognized the value of "peer education" as a means of ensuring the effectiveness of the workshop training. Therefore, in conjunction with the Project Officer, the *Institute* used the following criteria in identifying HBCU personnel to serve as peer facilitators:

- Present or former principal investigators with experience in obtaining competitive funding from multiple Federal programs;
- Present or former principal investigators whose project management experience has been considered by HRSA to be particularly efficient and effective;
- Administrators who had noted success in improving the efficiency and effectiveness of sponsored programs administration, in establishing appropriate pre-award and/or post-award functions of an office of sponsored programs; and
- Administrators who had noted success in improving the efficiency and effectiveness of an HBCU's fiscal management of programs, including

negotiation of indirect expense rates, project start-up, grant and contract accounts management, billing, and project close-out.

The three peer facilitators who were selected, based on the above criteria, came from the following HBCUs: Howard University, Langston University and South Carolina State University. All three of the selected individuals participated in all of the sessions for both the regional and on-site presentations.

3. The *Institute Staff*

The Project Director and Project Manager for this effort also served as workshop facilitators from the staff of the *Institute.* Both of these individuals attended all of the sessions and lead the team for coordinating all aspects of the technical assistance training. The Project Director served as the "Lead Trainer" and participated in the program addressing the foilowing topics:

- Overview and Purpose of Project;
- The Contract Award Process;
- Determining Institutional Capabilities; and
- Writing the Proposal for the Grant Application.

The Project Manager, in addition to her role of seeing that all of the technical assistance topics were addressed by the appropriate persons, also made a presentation on "Understanding How to Use Electronic Sources in Identifying Grant Opportunities".

J. THE BRIEFING SESSION

So that the workshop facilitators and mentors would have a clear understanding of the purpose of the workshop and the roles that they would play in this effort, the *Institute*

conducted a *briefing session* prior to the first regional workshop, which was held at the HRSA headquarters in Rockville, Maryland. Accordingly, during this session, information was provided on the objectives of the workshop and the intent for learning experiences from the various sessions. In attendance at the *Briefing Session* were senior-level HRSA staff who would serve as the workshop facilitators and mentors, the HBCU peer facilitators, as well as the *Institute* staff.

Following opening remarks by the Director of the Office of Minority Health, the attendees each introduced themselves. An overview of the project and its purpose was presented, and the workshop agenda and approach was reviewed in detail. The selected workshop facilitators were encouraged to prepare materials, if they had not done so already, to enhance their presentations. A discussion was devoted to suggested written and audio/visual materials. The briefing session concluded with a question and answer period. A copy of the agenda for the *Briefing* Session appears as Appendix C.

Additional names of persons who might be contacted about participating in the project were suggested by the HRSA staff present at the *Briefing Session.* Their suggestions proved particularly helpful in the efforts to match HRSA mentors to the HBCU participants, based on the participants' proposed topics, which were preselected prior to each workshop.

The briefing session also afforded the attendees an opportunity to meet each other prior to the first workshop, to ask questions of benefit to everyone, and to give an indication of their ability to participate in the project.

IV. IMPLEMENTING THE WORKSHOP

A. CONDUCTING THE REGIONAL WORKSHOP PRESENTATIONS

In conducting each of the regional technical assistance workshops, the *Institute* used an approach that has been refined through nearly two decades of experience in handling logistical and administrative aspects of various meeting types, as well as planning strategies for addressing the substantive areas of a meeting. As previously indicated, the two regional workshop presentations were held in Silver Spring, Maryland and New Orleans, Louisiana. Each involved participants from eight HBCUs. Project tasks for conducting the regional workshop presentations were grouped into three major activity categories: Pre-Workshop Activities, On-Site Implementation Activities and Post-Meeting Activities. This section of the report provides a discussion of the Institute's approach in addressing the project tasks in each of these categories.

1. Pre-Workshop Activities

Prior to each workshop presentation, one of the first tasks pursued involved site and date selection in conjunction with the Federal Project Officer. After these determinations were made, it was important to negotiate with the host facility for costs and services, assuring the government the best service at the lowest cost. Other activities included contacting the directors of the sponsored programs office (SPO) to indicate the intent of the workshop and to solicit their support in identifying the appropriate persons to attend. Development of correspondence for the Sponsored Programs Office, as well as for the participants was done early in the pre-workshop activity process. Preparation of the agenda, development of workshop materials, coordination of audio-visual support, also were important pre-workshop tasks performed by the *Institute* staff. Additionally, the *Institute* made travel arrangements for the long distance and ground transportation of the

HBCU workshop participants. Culminating logistical arrangements, during the pre-workshop activity component, included briefing HRSA staff and the peer facilitators about the final arrangements for the workshop presentations, communicating with the HBCU representatives about their selected topics for proposal submission as well as logistical arrangements for each workshop presentation, making final arrangements with the hotels where the presentations would be made, and shipment of materials to those hotel sites. A Logistical *Fact Sheet,* which provided pertinent information about the date, time and place for the workshop and the lodging facility, also was prepared and sent to the HRSA and peer facilitators.

2. On-Site Activities

To implement the on-site activities for each of the regional workshop presentations, the *Institute* provided three project staff. Significant among the responsibilities of these on-site staff was the handling of minor problems which inevitably surface, even in the best planned meeting. During the on-site provision of service, the *Institute* staff were engaged in a variety of activities, which included:

- Registration of participants;
- Facilitation of workshop sessions;
- Distribution of workshop materials;
- Duplication of materials as required;
- Administration of the pre-test and post test;
- Management of any last minute travel problems encountered by participants;
- Confirmation of satisfactory accommodations for all participants;
- Confirmation of the availability and proper functioning of any needed sound equipment and audio-visual aids;
- Establishment and management of a message center;

- Circulation of workshop feedback forms and collection of the forms upon conclusion of the workshop, for use in the project evaluation; and
- Shipment of materials back to the office of the *Institute.*

After administration of the pre-test on Day 1 of the regional workshop presentations, and continuing through Day 3, the various sessions were conducted by the HRSA staff, the HBCU peer facilitators, and the *Institute* staff. A discussion about the content of these sessions, and their associated topics, is presented in a previous section. The *Activity Book,* also previously described, was the major tool used to guide the workshop sessions for the two regional efforts. A copy of this guide was distributed to all participants.

For both regional presentations, a "funnel approach" was adopted. Accordingly, at the large end of the analogous funnel, global information relating to the workshop objectives was presented in the earlier sessions, As the funnel narrowed, the presented information relating to these objectives became more and more specific. For example, in Session I, global information was provided about grant awards; in Session III, the information became more specific, addressing the programmatic content of the grant awards made by the various HRSA bureaus; and in Session V information presented became even more specific, dealing with the details of the grant application process.

With respect to the pre and post tests which were administered, they were used to determine the knowledge gain by the HBCU participants, as a result of their involvement in the workshop. The feedback forms served as another measure for effectiveness determination of the workshop presentations, and as a measure for answering the primary question of the project: Is it better to make the technical assistance presentations using a regional approach or make the presentations on-site at the HBCU campuses? Results from the analysis of these two measures are discussed in a subsequent section.

It is worthy to note that Ms. M. June Horner, Director for the Office of Minority Health, was in attendance at each of the two regional workshop presentations for the entire two and a half day period. As documented on the feedback forms, her presence and input were significant factors to the success of how the participants viewed the seriousness and commitment of HRSA, regarding implementing the White House HBCU Initiative. Evidence of this commitment resided in Ms. Horner's response to the request made by the HBCU participants, that additional technical assistance be provided to them after the workshop, in a follow-up manner. Provision of such technical assistance, voiced the HBCU participants, would be extremely beneficial to their efforts in preparing a grant application for submission to HRSA. Realizing the importance of this request, Ms. Horner agreed to make follow-up technical assistance available to any of the workshop participants who so desired. Thus, a third component, *provision of follow-up technical assistance,* was added to the project. A discussion regarding the process used in these follow-up efforts is presented in a subsequent section.

3. Post-Workshop Activities

Post workshop activities for the regional presentations included review, reconciliation, and payment of hotel invoices, review of reimbursement forms and payment to participants for allowable expenses, analyzing the pre and post tests, andanalyzing the participant feedback forms. Additionally, a letter and *Project Intent Form* were sent to each workshop participant requesting their intention for submission of a grant application to HRSA. As a post-workshop activity, the participants were also notified of the availability of technical assistance, from the *Institute,* in preparing their submissions to HRSA.

B. CONDUCTING THE ON-SITE WORKSHOP PRESENTATIONS

1. Pre-Workshop Activities

As previously indicated, a total of five on-site presentations were conducted at the following HBCU campuses:

- Albany State University, Albany, GA
- Jackson State University, Jackson, MS
- North Carolina Central University, Durham, NC
- Tuskegee University, Tuskegee, AL
- Winston-Salem State University, Winston-Salem, NC

Like the regional presentations, prior to each workshop conducted on-site at the selected HBCU campuses, the directors of the sponsored programs office (SPO) were contacted by telephone to determine the dates that their institution would have available to host the workshop. The SPO directors were also asked to select eight to ten faculty members from their institutions who might benefit from the presentations, based on their understanding of the workshop's purpose. This process of selecting individual HBCU participants for the site visits is described in detail in an earlier section on Development of *the* Project

Subsequent to contact made with the SPO directors by telephone, they were sent a letter that confirmed the workshop arrangements, and reiterated the role they should play in selecting the faculty participants from their respective institutions. Sufficient copies of the Preview and the informational document, which provided an overview of HRSA and its various bureaus, were sent along with the letter for distribution to the faculty members selected by the SPOs. As earlier discussed, each of the selected faculty members were charged with providing the SPO director with a topic for a proposed project. In turn, HRSA staff were selected as mentors, for the one-on-one sessions at the workshop, based on the

proposed HBCU faculty topics sent to the *Institute* by the SPO directors. This proved to be one of the most time consuming processes of the pre-workshop activities.

Travel arrangements for the on-site presentations only had to be made for the *Institute* and the peer facilitators, given no travel for the HBCU participants would be required. The HRSA facilitators and mentors made their own travel arrangements. It also was necessary for logistical arrangements to be made with the hotels, within each city of the HBCU sites, where all of the workshop presenters would be lodged. Other pre-workshop activities included developing a Logistical Fact Sheet prior to each HBCU site visit, that was sent to each HRSA staff member and HBCU peer facilitators. All materials necessary for distribution at the on-site presentations were refined, updated, copied, assembled and shipped before travel to each workshop.

2. On-Site Activities

At each HBCU site, staff from the *Institute* arrived the day before the workshop and met with the director of the sponsored programs office. During these meetings, final arrangements were made about space for the workshop, meals on campus, shuttle service from the hotel, and audio-visual equipment needs. Other on-site activities at the HBCU campuses were the same as for the regional workshop presentations, which have been described previously.

Two highlights of the on-site activities are worthy of mention. First is the presentation of KATE, the step-by-step, systematic proposal development process. Second was the invaluable technical assistance provided during the one-on-one sessions between the HBCU faculty participants and the HRSA staff. These individual sessions allowed an opportunity for the HBCU participants to speak frankly and directly with HRSA staff who possess specific knowledge about the programs from which the participants would be seeking grant awards for their projects. Further, the HBCU participants received quick,

thorough, and useful answers to all of their questions about how their efforts might be maximized in their award pursuance efforts. The one-on-one process also eliminated the hassles of dealing over the telephone with a faceless government employee.

3. Post-Workshop Activities

The post-workshop activities for the on-campus presentations were about the same as had occurred for the regional presentations. Invoices for hotel costs were reviewed and paid, the peer facilitators were reimbursed for their travel expenses, and the pre and post tests and the feedback forms were analyzed for reporting on their results in the Final Report.

A major post-workshop activity involved sending a letter and Project *Intent* Form to each workshop participant, requesting that they indicate their intention to submit a grant application to HRSA. That letter also notified them of the availability of follow-up technical assistance in preparing their proposal submissions to HRSA.

V. EVALUATION OF THE PROJECT

A. OVERVIEW OF THE EVALUATION PLAN

In an effort to systematically guide the evaluation component of the project, the *Institute* developed a formalized plan. This *Evaluation P/an* was initially comprised of the following four *segments:*

(1.) The development of a working model to provide a conceptual framework for evaluation of the project, including the parameters for initial data collection;

(2.) The development of a logic model, grounded in the conceptual framework, as a theoretical basis for the use of particular evaluation methods;

(3.) The development of data collection materials tailored to this particular technical assistance effort; and

(4.) The gathering of pre-assistance data and process implementation data.

In addition to these four planned segments, a fifth segment was added, based on the availability of preliminary data during a formalized follow-up to all of the technical assistance workshop presentations:

(5.) The gathering and organizing of preliminary data on outcomes achieved by the participating HBCUs.

Ultimately, the evaluation was designed to treat each workshop as a single case, with the individual participant as the unit of analysis. Each case could then be systematically studied and analyzed to determine the apparent costs and benefits of implementing all seven workshop presentations, with particular attention to the differences between the regional workshop presentations and the HBCU on-campus workshop presentations. Although the total of the seven workshop presentations provide only a small sample of

data, which does not lend itself to sophisticated statistical analysis, there are sufficient measures, both quantitative and qualitative, that will permit a definitive answer to the primary evaluation question For the most part, however, the emphasis of the evaluation is on qualitative analyses. Several of these analyses are supported by numerical data. The following subsections provide the details of the framework and logic for the evaluation, and describes the measures used to answer the evaluation questions.

B. LOGIC MODEL OF THE TECHNICAL ASSISTANCE EFFORT

As stated in the overview above, and in other sections of this report, the *Institute* developed a conceptual framework for the project's evaluation, through the leaky pipe model which, in turn, allowed for the development of a logic model. Thus, this logic model serves as the primary theoretical basis for evaluation of the HRSA technical assistance provision to HBCUs. In evaluation research involving case study methods, a logic model can serve as a valuable tool for guiding the design of the evaluation, keeping it consistent with the design and intent of the program to be evaluated. Typically, a logic model captures the underlying rationale of the program by specifying the likely and anticipated causal links among prior conditions of program participants, program elements, and program results. Specifically, the logic model includes links among the following components:

- ***Assumptions*** within the program, regarding the needs that are to be addressed by program interventions, and the efficacy of the chosen interventions in the targeted situation;
- ***Actions*** taken as part of the planned intervention, which is normally intended to yield particular outcomes;
- ***Immediate Outcomes*** that might reasonably be expected to occur as a direct result of the actions taken;
- ***Intermediate Outcomes,*** if any, which might be secondary effects of the action and its immediate outcomes; and
- ***Final Outcomes,*** which are typically the intended goal of the action, but may include unintended costs and benefits of the program.

By specifying these elements of the program in a logic model, it becomes possible to conceptualize the causal relationships by which a specific assumption can be associated with a chosen program action. In turn, it is possible to associate each program action with a particular outcome or set of outcomes. Once these conceptual links are established, it becomes clear what steps must be taken in order to verify or disconfirm the apparent logic of the program. The evaluation, then, becomes a process of following the logic model to see what assumptions must be confirmed, what actions or processes must be gauged, what outcomes must be monitored, and what types of relationships must be explored and tested among these components of the model.

The logic model for the HBCU technical assistance workshop presentations was initially developed to reflect the findings of the needs assessment that was conducted during the process of selecting institutional participants. As technical assistance through the workshop was conducted, and also provided in a follow-up manner, after the workshop presentations, the *Institute* refined the preliminary logic model to maximize the specificity of variables and links as they would be addressed in the evaluation process. The variables are presented in a thorough listing below, and in an abbreviated graphical format in Figure 5.

- ***Assumptions***
  - HBCUs submit a low number of applications for competitive HRSA grants, relative to the capabilities and interests of HBCUs to participate in such programs.
  - HBCUs submissions for competitive HRSA grants manifest a level of quality and responsiveness that is low, relative to the capabilities and interests of HBCUs to participate in such programs.
  - Low HBCU participation is a function of limited knowledge, among principal investigators (Pls) and administrators, of HRSA and its programs.
  - Low HBCU participation is a function of limited knowledge, among Pls and administrators, of funding available from HRSA.

- Low HBCU participation is a function of limited understanding, among Pls and administrators, of the HRSA grant review process and other agency-specific requirements for submissions to HRSA.

- Low HBCU participation is a function of limited knowledge, among Pls and administrators, of how to develop and market project ideas and related institutional capabilities to HRSA.

- Low HBCU participation is a function of limited knowledge, among Pls and administrators, of how to meet HRSA expectations for efficient project management.

- ***Actions and Interventions***

  - The *Institute* conducts a semi-structured telephone interview to determine the technical assistance needs at the targeted HBCUs.

  - The *Institute* offers technical assistance to a select group of HBCUs, in areas in which the HBCUs have expressed needs that are amenable to short-term assistance, which include:

    - Current array of programs conducted by HRSA or planned by HRSA for the near future,

    - HRSA funding opportunities that are currently available or planned for the near future, and time frames for application and review,

    - Methods of identifying new HRSA funding opportunities as they are announced or developed,

    - Methods of assessing institutional capabilities for the conduct of HRSA projects,

    - Distinctions among different types of funding mechanisms available from HRSA, including grants, contracts, and cooperative agreements,

    - HRSA's requirements for responsiveness and other aspects of acceptable submissions, as spelled out in the agency's review process,

    - Methods for the production of competitive and responsive proposals, and

- Specific project management requirements associated with different HRSA funding mechanisms.

- The *Institute* prepares technical assistance materials related to each of the identified workshop topics.

- The *Institute* produces 2.5-day workshop presentations for the transfer of materials and the provision of face-to-face technical assistance, through HRSA staff, *Institute* staff, and HBCU personnel with expertise in competing for Federal funds, occurring either on the campus of the selected HBCU or at a regional site that is accessible to as many as 10 HBCUs.

- The *Institute* makes at least one follow-up contact with each assisted HBCU in order to offer guidance towards the development of a competitive submission to HRSA.

- ***Immediate Outcomes***

  - Recipients of technical assistance will gain appropriate knowledge and skills in the topic areas addressed during the workshops.

  - Recipients of technical assistance acquire appropriate reference materials to guide themselves and their colleagues in identifying, developing, pursuing, obtaining, and successfully managing projects supported by grants from HRSA.

  - HBCU participants in the workshop presentations utilize direct contact with HRSA personnel, facilitating continued familiarity with HRSA programs and requirements.

  - HRSA personnel, as presenters in the workshop presentations, utilize direct contact with HBCU participants, facilitating HRSA's continued familiarity with HBCU capabilities and interests.

  - Regional workshop participants from HBCUs interact, sharing project ideas and strategies for successful submissions to HRSA.

  - On-campus workshop participants, including multiple faculty members and administrators, interact with each other, facilitating the development of project ideas and strategies for increasing that HBCU's competitiveness in acquiring HRSA funds.

- ***Intermediate Outcomes***

  - Workshop participants use their training to identify HRSA programs for which it is feasible 'to develop competitive and responsive proposals, either solicited or unsolicited.

  - Workshop participants prepare concept papers as a means of developing project ideas and marketing the ideas to HRSA.

  - Workshop participants produce strong grant applications or contract proposals, relevant to HRSA needs.

  - Workshop participants work with fellow faculty members and administrators to implement appropriate policies or practices for project management.

  - Workshop participants use HRSA contacts as inroads for establishing non-grant modes of involvement with HRSA, including peer review committee service, advisory panel service, and Intergovernmental Personnel Assignment (IPA) participation.

  - Participants in regional workshop presentations develop ideas for institutional partnerships and joint proposals.

- ***Final Outcomes***

  - HBCUs increase the number of competitive grant and contract awards that they pursue from HRSA each year.

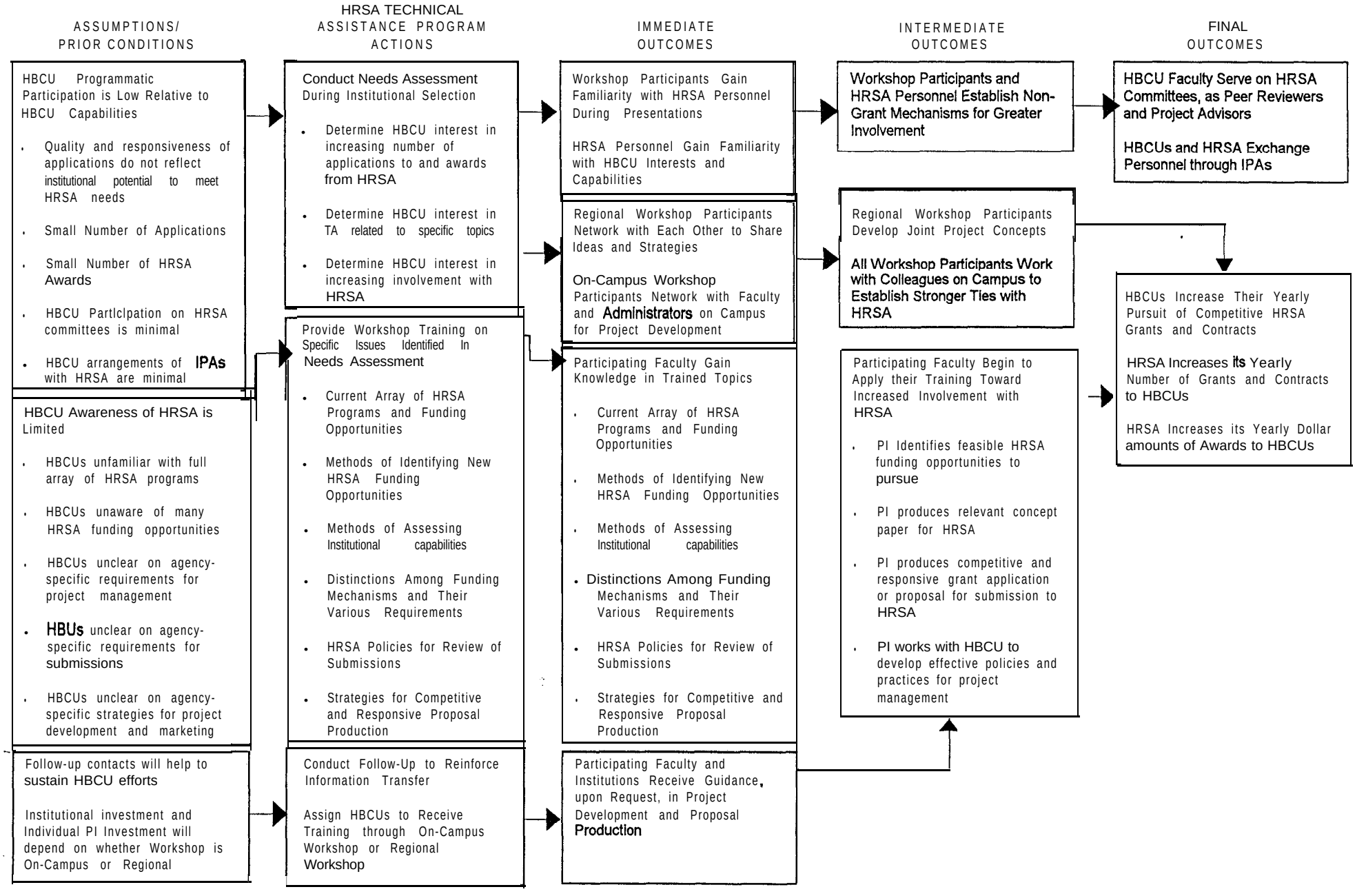
  - HRSA increases the number of competitive grants and contracts awarded to HBCUs each year.

  - HRSA increases the number of dollars awarded to HBCUs each year through various funding mechanisms.

  - HBCU faculty increase their involvement with HRSA as peer reviewers and project advisors.

  - HRSA and HBCUs exchange personnel through IPAs.

Figure 5
Model for the Underlying Logic of HRSA Technical Assistance Provision to HBCUs



C. EVALUATION QUESTIONS

As inferred by the project title, the demonstration and evaluation effort for provision of technical assistance to HBCUs was developed partly with the aim of addressing the following *primary evaluation question:*

- *Is it better to provide technical assistance to HBCUS through a regional workshop presentation or through a presentation of that workshop on-site at their campuses?*

in an effort to operationalize a response to this primary evaluation question, two major subordinate questions were posed:

1. Does *short-term* technical *assistance, addressing appropriate topics in a 2.5-day workshop, increase the involvement of HBCUs in HRSA programs?*

2. *Is there a c/ear difference in the effectiveness of the 2.5-day workshop if the workshop is presented to* faculty *from* several *HBCUs* at a regional location, *or if it is presented to several faculty at a single HBCU on its campus ?*

The first operational question refers primarily to the final outcomes that the technical assistance was intended to achieve. However, as suggested by the logic model presented in the previous sub-section, there are many steps that must be taken successfully before it is possible to reach the final outcomes. Given the importance of those intermediate steps, and given the brief time between workshop implementation and conduct of the evaluation, it is only possible to address the issue of outcomes in a preliminary fashion. It is also possible to examine the processes of technical assistance provision in order to determine whether the workshop presentations were developed, presented, and followed up in a manner that could reasonably be expected to yield positive outcomes. Therefore,

based on the logic model, it is important to specify the following key questions as sub-components of operational question 1 that are at least partially answerable at this time:

1.1) Did the needs assessment provide insight to support or refine the assumptions of the technical assistance effort?

1.2) Did the *Institute* project team succeed in developing a workshop that was relevant to the needs of HBCUs and of HRSA?

1.3) Did the *Institute* project team succeed in presenting the workshop as planned, in both regional and on-campus formats?

1.4) Did the *Institute* project team succeed in making known that follow-up technical assistance would be available to guide project development and proposal production?

1.5) Did HBCU participants actually gain knowledge from the workshops in the presented topical content areas?

1.6) Did HBCU participants gain useful reference documents regarding HRSA programs, funding opportunities, and requirements for submissions and project management?

1.7) Did HBCU participants establish meaningful contacts with HRSA personnel who could assist with project development, identification of funding opportunities, or other modes of HBCU involvement with HRSA?

1.8) Did the regional setting facilitate the development of joint project ideas among multiple HBCUs participating in each regional workshop?

1.9) Did the on-campus setting facilitate broader institutional participation in efforts to increase HBCU involvement with HRSA?

1.10) Did the workshop participants submit proposed project topics, actually identify feasible funding opportunities, subsequently develop concept papers, submit proposals, and/or receive HRSA funding as a result of their knowledge gained in the technical assistance workshop?

1.11) Are HBCU personnel pursuing other modes of involvement with HRSA, such as peer review committees, advisory panels, and IPAs, as a result of the contacts made in the technical assistance workshop?

The second subordinate operational question, regarding any differences in the effectiveness of regional or on-campus workshop presentations, can be answered at least preliminarily by revisiting evaluation questions 1.3 through 1 .11 separately for the two modes of workshop presentations, and by identifying any differences in the indicators of success for those two modes. In addition, it is important to consider the different costs and unique benefits that might arise from the two approaches. Accordingly, the following sub-questions must be addressed:

2.1) Is there a pattern of differences between the success indicators for on-campus workshop participants and the success indicators for regional workshop participants?

2.2) What is the ratio of the tangible costs associated with each approach-how much more expensive is one approach than the other for reaching a single HBCU participant?

2.3) What is the ratio of the tangible successes achieved by each approach-how much more successful is one approach than the other for garnering the involvement of each potential project director, or each HBCU?

2.4) Are there any unique benefits to one approach that appear to be essential for reaching the various desired outcomes?

2.5) Are there any unique costs to one approach that fundamentally undermine the practicality of using that approach to achieve the various desired outcomes?

While the leaky pipe working model provided a conceptual framework for the project, and the logic model provided a theoretical basis for the evaluation component of the effort, a *graphical pathway* also was developed by the *Institute,* to show how all three of the project's components, (1) *demonstration*, (2) *evaluation,* and (3) follow-up technical *assistance provision,* were linked in an effort to answer the primary evaluation question, referenced earlier. An illustration of these linkages appears in Figure 6.

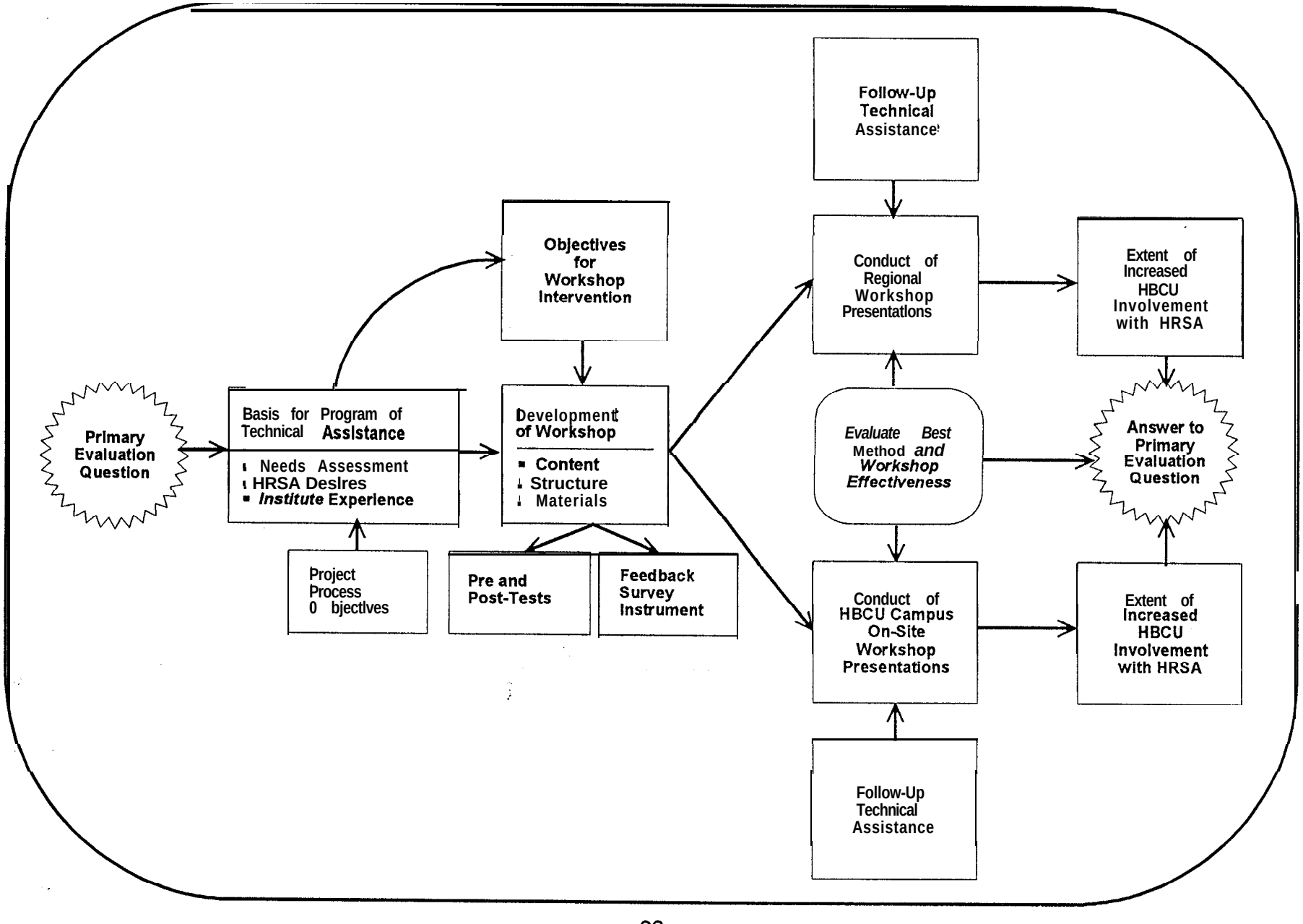
D. EVALUATION MEASURES AND ANALYSIS METHODS

In an effort to link the actions and various outcomes with the assumptions, as presented in the logic model, the following measures were analyzed.

1. HRSA Reports on White House Initiative for HBCUs

Each year, HRSA and the other major operating divisions of DHHS produce a report on the extent of their involvement with HBCUs, relative to their involvement with all institutions of higher education (IHEs). As previously discussed, these reports played an important role in establishing the baseline of prior HBCU experience with HRSA-funded programs.

Figure 6
Graphic Pathway to Answering Primary Evaluation Question



2. Needs Assessment Interview Protocol

As previously discussed, the *Institute* conducted a needs assessment in order to develop a useful workshop agenda that would be pertinent to needs voiced by the HBCUs. This assessment included the gathering of HBCU information through a semi-structured telephone interview with the director of sponsored programs at each of the HBCUs to which the workshop opportunity was offered. The protocol for the needs assessment interview included the following components:

- Explanation of the intent for HRSA technical assistance to HBCUs;
- Determination of the role of the director of sponsored programs;
- Identification of faculty who might be interested in pursuing funds from HRSA;
- Identification of workshop topics that might be most beneficial to the HBCU;
- Determination of the HBCU's interest in participating in an on-campus or regional workshop;
- Identification of the structure and function of the sponsored programs office; and
- Identification of the appropriate point of contact for obtaining institutional commitment to the technical assistance effort.

3. Workshop Materials

The *Activity* Book, earlier described, was given to each workshop participant as a guide for use during the workshop and as a reference to be used by each HBCU as needed after the workshop. In addition, the workshop facilitators distributed other materials to the participants, such as Bureau descriptions and program brochures, for insertion into the *Activity* Book. The materials provide a clear record of the workshop objectives, in general, and for each topic; the facilitators for each topic; and the time that was to be devoted to each topic, as well as the various reference materials pertaining to many of the topics.

4. Participants' Pre-Workshop Project ideas

As a preparatory step, the HBCU participants were required to come to the workshop with an idea already written down, at least in the form of a project title, which might serve as a focus for concrete technical assistance related to the pursuit of funding for that idea. Given the limited exposure of the HBCU participants to HRSA prior to the workshop, the ideas varied considerably in their relevance to HRSA's mission and programs. Thus, these pre-workshop project ideas provide indicators of the participants' cooperation in preparing for the workshop, as well as the extent of their understanding of funding that could reasonably be sought from HRSA.

5. Pre-Test and Post Test of Knowledge Related to Workshop Topics

Workshop participants were required to complete a pre-workshop test and a post-workshop test as a measure of knowledge gained during the training. The pre-test and post-test used the same form in order to get a clear indication of whether knowledge was gained in each of the tested areas. After the regional presentation in Silver Spring, the first workshop held, the test was lengthened from 7 items to 10 items, in order to

provide a better indication of knowledge gain regarding the focus of HRSA bureaus, and to maximize the linkages between the workshop objectives and the test questions.

6. Workshop Feedback Form

At the conclusion of each workshop, the workshop participants were invited to complete a *Workshop Feedback Form.* This form solicited ratings of the quality of the presentations, facilitators and materials, as well as ratings of the appropriateness of the workshop objectives and the usefulness of the workshop in meeting those objectives. The form also included open-ended questions. The first such question asked participants to identify the "most beneficial" activity in the workshop. The second asked participants to identify any issues that would be important to add to the workshop in the future. Thus, the form provides insight in the overall success of the workshop, as judged by the HBCU participants.

7. Follow-up Materials

As previously discussed, the *Institute* produced a *Notification* Letter which was sent to all of the participating HBCUs as a standardized follow-up effort, to encourage continued pursuit of HRSA funding by workshop participants and to remind the participants of the availability of follow-up technical assistance. These materials comprise part of the record that follow-up occurred and the nature of that follow-up effort.

8. Institute Records of Participants' Submissions of Post-Workshop Project Concepts

The standardized follow-up materials sent to each HBCU participant included a form on which the participants could again describe the nature of a project for which they intended to seek funding from HRSA. This requirement yields two important measures: 1) the number of participants who have followed the intended process by producing a concept

positions as peer reviewers, advisory board members, and IPA participation. Such information should provide at least an early indication of the extent to which the technical assistance is producing desired final outcomes.

12. *Institute* Observations of Other Notable Outcomes

The *Institute* has noted several outcomes that are not included in the logic model, but which appear to be beneficial side-effects of the workshop presentations. These data are relevant to the evaluation only to the extent that they demonstrate some additional value of the workshop, beyond the intended purposes of the technical assistance. Many of these notable outcomes are discussed in the section on *Lessons Learned.*

paper, and 2) the number of concept papers that are relevant to HRSA's mission and programs, relative to the number of relevant ideas submitted prior to the workshop.

9. *Institute* Records of Contacts Made During Follow-up Technical Assistance

The *Institute* made follow-up telephone calls to each HBCU participant, and accepted requests for additional information and guidance related to the development of appropriate project ideas and to the production of proposals for funding. Although the actual requests were sporadic and spontaneous, the *Institute* was able to record the nature of such requests, as well as other aspects related to the provision of follow-up technical assistance, which included: (1) the level of technical assistance needed, and (2) the type of technical assistance provided.

10. HRSA Reports of Participants' Submission of Proposals to HRSA

Although it is too soon after the implementation of the workshop presentation to gauge the total impact of the workshop presentations, information is currently available from HRSA regarding the number of workshop participants who have already submitted grant or contract proposals, as well as the number that have already received funding as a result of such submissions. These data provide at least a preliminary indication of the extent to which the technical assistance effort is following the full direction anticipated in the logic model.

11. HRSA Reports of Participants' Pursuit of Other Modes of Involvement with HRSA

As in the case of proposal submissions and awards, it is too early to gauge the full effect of the technical assistance on HBCU efforts to seek non-economic involvement with HRSA. However, preliminary information is available from HRSA regarding the extent to which the HBCU participants and their institutions have begun to seek opportunities for

VI. RESULTS OF PROJECT MEASURES AND METHODS

A. EFFECTIVENESS OF THE WORKSHOP

1. Knowledge Gain by Participants

As indicated by the logic model, and other discussions within the *Evaluation Plan,* gain in knowledge by the HBCU participants would be one means of measuring the effectiveness of the technical assistance provision. Accordingly, a pre-test and post test, as earlier described, served as a major indicator for such a determination. For both the regional presentations and the HBCU on-campus presentations, the pre-test was completed at the beginning of Day 1 of the workshop and the post-test was completed at the end of Day 3. Both tests, which were in a multiple-choice format, used the same questions in order to ensure the comparability of scores. With the exception of the Silver Spring workshop, the pre and post-tests were comprised of ten items. The Silver Spring tests had only seven items. The tests were designed so that all items were linked to the objectives of the workshop and its associated content. The addition of the three items, after the Silver Spring workshop, was made to maximize these linkages. 'Consequently, the Silver Spring results are only partially comparable to the results from the other six workshop presentations. However, all of the results from analysis of the data from the tests, were based only on the HBCU participants who took both the pre-test and the post-test.

A comparison of the pre-test and post test scores for all HBCU participants, in both the regional and campus on-site workshop presentations, is illustrated in Figure 7. As shown, the percent correct for the pre-test was 50 percent, and 70 percent correct for the post-test, representing a gain of 20 percentage points. These results, therefore, clearly

demonstrate that knowledge was gained by the HBCU faculty, as a result of their participation in the technical assistance workshop. The results also serve as a support for one of the immediate outcomes indicated in the logic model, with respect to the effectiveness the program of technical assistance. In fact, as related to participant gain, the workshop as an intervention can be deemed a success. This success is further evidenced in the following, when the results are aggregated across both the regional and on-site workshop presentations:

- An average score increase for the workshop presentation at each site, inclusive of an average score increase for all HBCU participants; and

- An average score increase for the aggregate of the two regional workshop presentations and an average score increase for the aggregate of the five HBCU on-site workshop presentations.

While there is a gain indicated for all workshop participants, when the aggregate test scores of the regional workshop participants are compared with the aggregate scores of the on-site participants, a significant difference is revealed. For the regional HBCU participants, inclusive of Silver Spring and New Orleans, their knowledge gain was 35 percentage points, with 54 percent correct on the pre-test, and 89 percent correct on the post-test. For the HBCU on-site workshop participants, which includes all five of the campus sites, their gain was only 14 percentage points, scoring 47 percent correct on the pre-test and 61 percent on the post-test. These comparative results are illustrated in Figure 8.

Given that the pre-test and post-test items were linked to the content of the workshop, an effort was made, through item analysis, to determine if there was a pattern of incorrect answers on both the pre-test and post- test across all workshop sites, and by all the HBCUs. The results of this analysis would allow for the *Institute* to strengthen its presentation of those topical areas where the pattern of incorrect answers existed for the pre-test and post-tests. Table 7 presents a description of each test question, and Figure 9 illustrates a

Figure 7

Comparison of Aggregate Pre and Post-Test Scores for All HBCU Workshop Participants

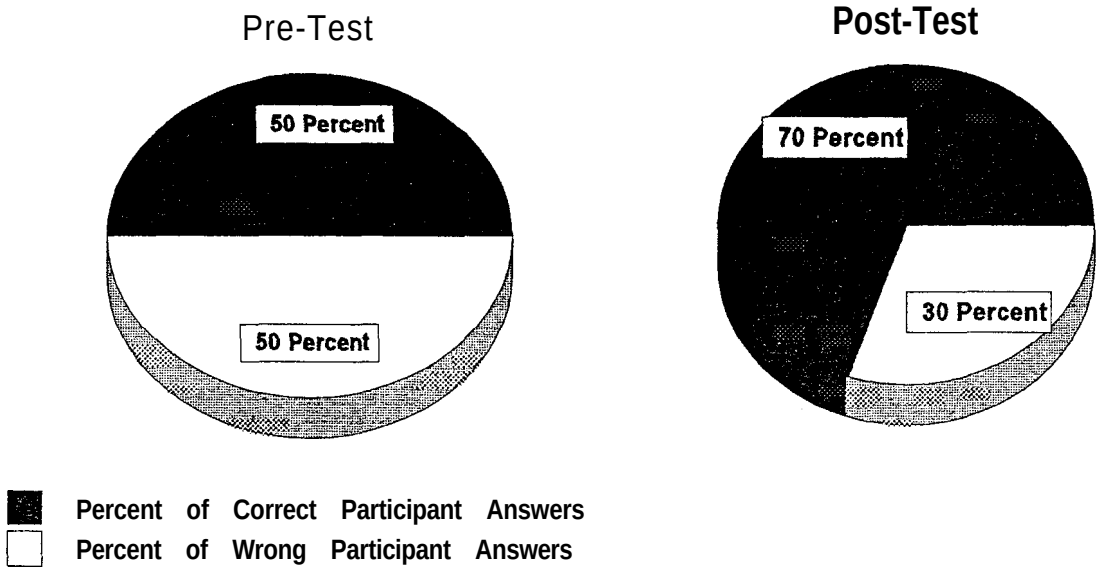
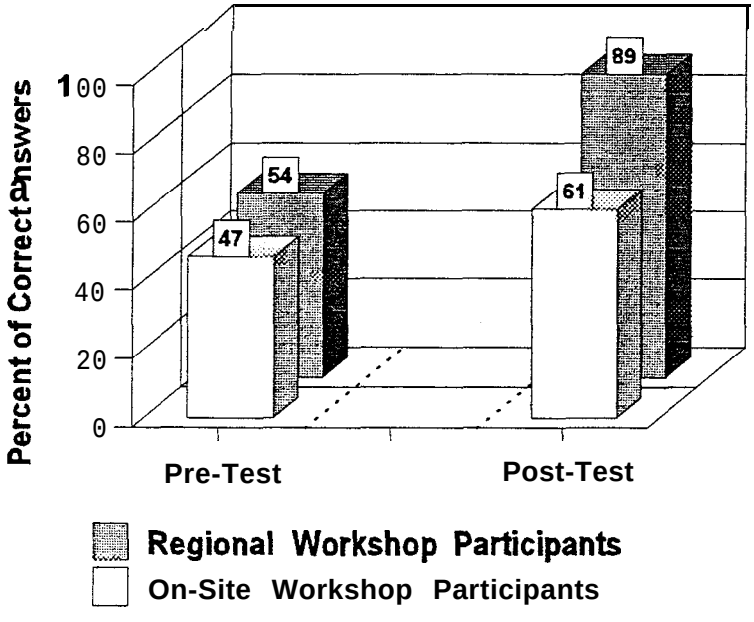


Figure 8

Comparison of Aggregate Pre and Post Test Scores Between the Regional HBCU Workshop Participants and the Campus On-Site Participants



summary of the analysis for each of these questions for correct and incorrect answers, which are identified by the following categories:

- Percent of participants answering question wrong on the pre-test, but correct on the post-test, WPRCPO;
- Percent of participants answering question wrong on both the pre-test and the post-test, WPRWPO;
- Percent of participants answering question correct on the pre-test but wrong on the post-test, CPRWPO ; and
- Percent of participants answering question correct both on the pretest and the post-test, CPRCPO.

Using Question 1 (Ql)as an example:

- 25 percent of all the workshop participants answered this item wrong on the pre-test, but answered it correctly on the post-test.

- 14 percent of all workshop participants answered this item wrong on both the pre-test and the post-test.

- 8 percent of all the workshop participants answered this item correct on the pre-test, but wrong on the post-test.

- 58 percent of all the workshop participants answered this item correct on both the pre-test and the post-test.

Table 7

Description of Workshop Pre and Post-Test Items

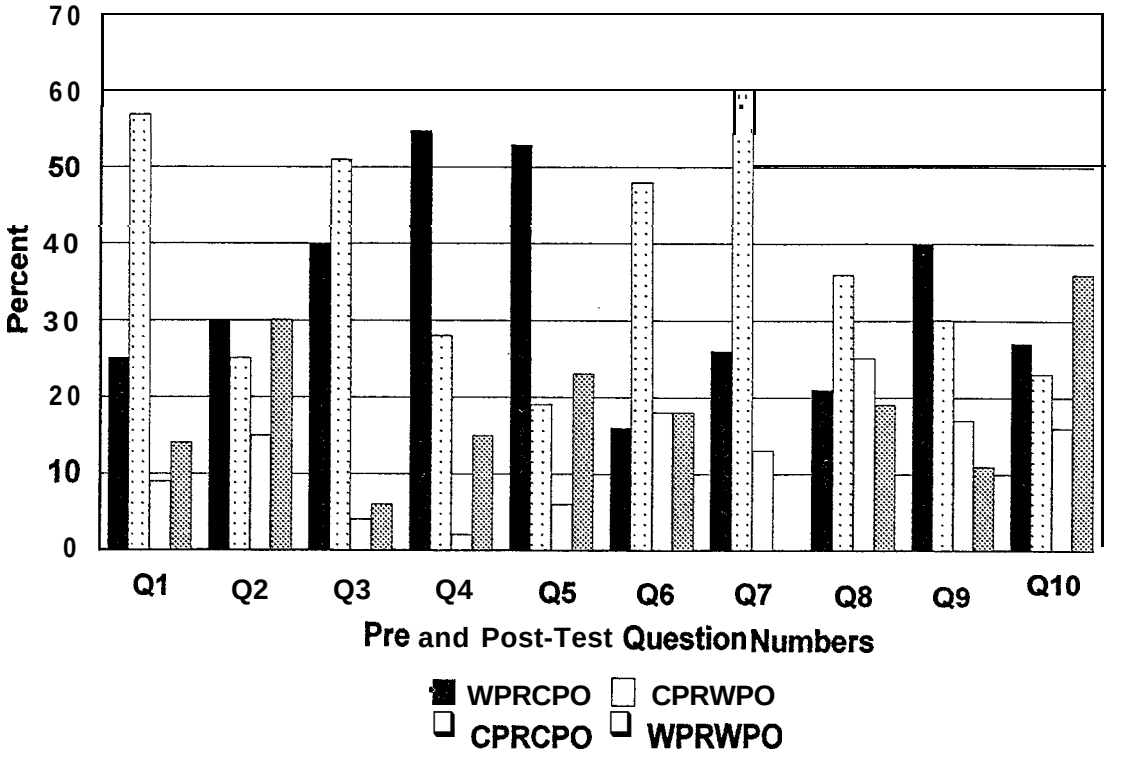
Item No.	Item Description
1	Acronym for the Bureau where the Healthy Start program is administered
2	Definition of a fixed price contract
3	The difference between a grant and a contract
4	Recognition of IRIS, an electronic source for identifying award opportunities
5	Recognition of the Commerce Business *Daily* and its purpose
6	Identification of the acronym of the HRSA bureau where the primary care of public housing residents is administered
7	Responsibility for grant application evaluation in HRSA
8	Definition for **a** formula grant
9	Definition for a cooperative agreement
10	Acronym for the HRSA bureau responsible for enhancement of academic preparation of minority students interested in a health profession

As illustrated in Figure 7, there were two questions that 30 percent or greater of the HBCU participants, in both the regional and on-site presentations, had the most difficulty answering correctly on the pre-test and the post-test. These were:

- Question 2, which addressed the definition of a fixed price contract; and
- *Question 10*, which addressed the bureau in HRSA having responsibility for enhancement of minority student preparation for a health career.

Figure 9

Item Analysis of Pre and Post Tests for Correct and Incorrect Answers



One of these two difficult questions dealt with the contract process, an area in which the great majority of the HBCU participants indicated that they had limited knowledge. Interestingly, however, for question 4, which addresses another contract related issue, recognition of the Commerce Business *Daily*, 53 percent of those who answered this question incorrectly on the pre-test, answered it correctly on the post-test. This question had the second greatest improvement. The greatest improvement resides in question 4, where 55 percent of the HBCU participants who did not recognize the acronym of IRIS as an electronic identification source for project opportunities, prior to the workshop, were able to do so on the post-test. It should be noted that considerable inquiry was made about this electronic source when the topic on opportunity identification was presented. In general, the information from Figure 7 will be used by the *Institute* to enhance future presentations

of the topics related to the questions, where the improvement on the post test, over the pre-test, was less than 25 percentage points.

In summary, as evidenced by the tables and figures above, while the scores for all workshop sites improved from the pre-test to the post-test, the gain by the regional HBCU participants was significantly greater than the gain by the campus on-site participants. This result infers that a regional setting might be more conducive for the learning process, as related to an increase in awareness about HRSA and various program and award opportunities.

2. Rating the Workshop

The *Workshop Feedback Form,* completed by the HBCU participants at the end of Day 3, provided a descriptive measure of the participants' perceptions, observations, and judgments regarding various aspects of the workshop. The participants were requested to rate ten items on a scale from one to five, with five being the highest and to respond to two open-ended items. Following, in Table 8, is a description of the information, by item, for which a rating response was requested of each HBCU workshop participant.

When all 10 items from the HBCU *Feedback Form* are aggregated and averaged across all workshop sites by all of the HBCU participants, the combined overall rating for the workshop is 4.8 on the 5 point scale. A comparison of the average overall workshop rating between the regional HBCU participants and the campus on-site participants, are 4.9 and 4.7 respectively. These relationships are illustrated in Figure 10. Also, as graphically shown in Figure 11, both the regional HBCU participants and the campus on-site participants thought very highly of all aspects of the workshop. This is evidenced when an analysis of each item is conducted; very little variations occur. In fact, no item on the feedback form, for all of the workshop sites, received an average aggregate rating of

Table 8

Description of Items on Participant Feedback Form

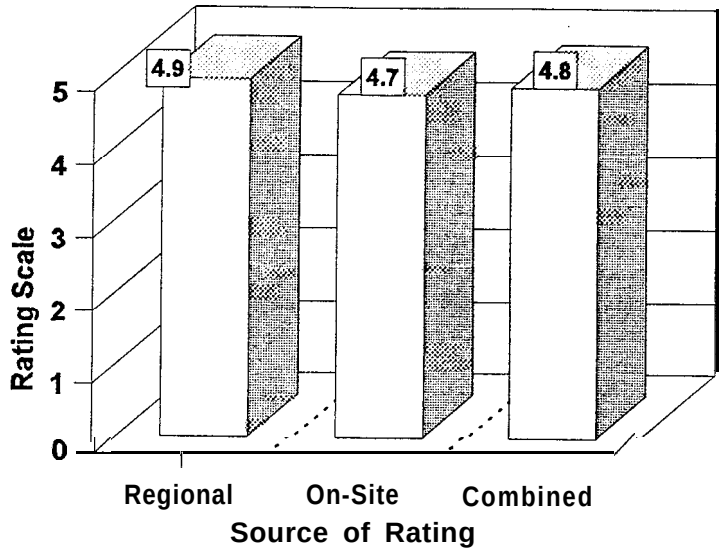
ITEM NO.	ITEM DESCRIPTION
1	The overall quality of the presentations
2	The usefulness of the information provided by the facilitators
3	The clarity of the objectives for the various sessions
4	The attainment of the objectives for the various sessions
5	The interest and enthusiasm of the facilitators in making their presentations
6	The opportunity for discussion during the various sessions
7	The Activity Book and associated materials used to guide the workshop sessions
8	The materials that were passed out by the facilitators
9	The helpfulness of the project staff
10	The extent to which the workshop met the individual objectives

less than 4.6 A more specific review of Figure1 1 indicates that the highest ratings, by the HBCU participants, were for the *Activity* Book, its associated materials, and for the materials passed out by the HRSA facilitators. All 16 of the participants in the regional workshop, both from the Silver Spring and the New Orleans presentations, gave the Activity Book a rating of 5. In fact, throughout the course of each workshop presentation, the HBCU participants voiced that, the materials contained in the Activity Book and those distributed by the facilitators, are invaluable reference tools which would serve them well, long after the workshop.

In contrast, the two items which were rated the lowest, although not very low, were associated with the objectives for the various workshop sessions and with the personal objectives of the individual HBCU participants. Apparently, while the HBCU participants

Figure 10

Participant Rating of Workshop by Site Type and Combined

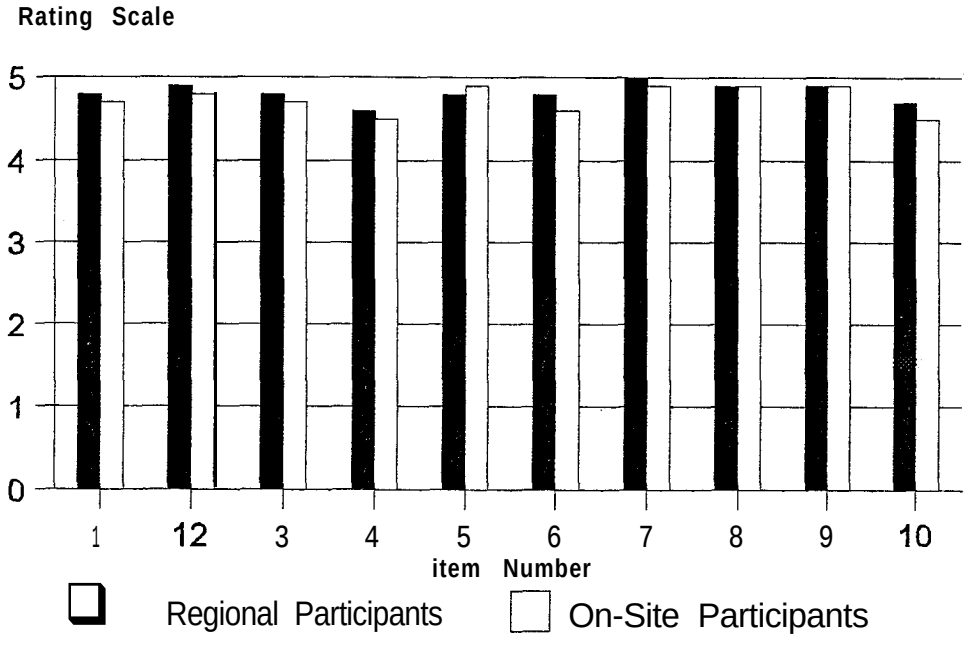


expressed elation about the overall aspects of the workshop, there were some who were uncertain as to whether the workshop met their objectives for attendance. Several of these persons stated, anecdotally, that they had not set any personal objectives,. given they had no preconceived notions as to what the ultimate content of the workshop would be. Others expressed that insufficient time existed for the facilitators to attain all of the objectives set for their presentations. For all of the workshop sessions, as previously discussed, specific activity and behavioral objectives were set. To the extent possible, and in the time allowed, the facilitators attempted to make their presentations within the boundaries of these constraints.

Of particular note, in corroboration with their high ratings given, the HBCU participants expressed informally that they were extremely impressed with the enthusiasm

Figure 11

Average Rating of Workshop by Item on Feedback Form by Workshop Mode



Workshop Mode	Rating by item Number									
	1	2	3	4	5	6	7	8	9	10
Regional	4.8	4.9	4.8	4.6	4.0	4.8	5.0	4.9	4.9	4.7
On-Site	4.7	4.8	4.7	4.5	4.9	4.6	4.9	4.9	4.9	4.5

and commitment shown by HRSA and the peer facilitators. They also strongly expressed that much of the information imparted by the facilitators was new to them, especially about the program activities of the various HRSA bureaus, and would be very useful in their efforts to pursue funding competitively from HRSA. With respect to the perceptions of the helpfulness of the project staff, the HBCU participants gave an aggregate rating of 4.9, the second highest rating.

As indicated above, two open-ended questions were contained on the feedback form. They were:

(I) In reflecting on all of the workshop activities, what would you consider as the activity that was most beneficial to you?

(2) What additional activity or issue, if any, would you like to have had presented at the workshop?

It should be noted that the total number of feedback forms completed does not equal the total official number of HBCU faculty participating in the workshop presentations. The reason for this is because, at all of the campus on-site workshop presentations, there were more faculty attending than those who had been officially selected by the sponsored programs office director for participation in the effort. In some cases, two to four persons came as a team. Each of these teams had agreed to work jointly on a single proposal submission. Therefore, so that the count, or total number of HBCU participants would be comparable across all measures specified in the logic model, each team was counted as a single participant, yielding an official count of 51 HBCU participants. Additionally, some of the HBCU participants gave two responses for the first open-ended question, stating it was a tie regarding their two responses, as to which was the most beneficial activity. Nevertheless, from the responses of all HBCU faculty in attendance at the workshop presentations, on both open-ended questions, a tally was made of the number of times that a similar comment was made. Provided below, in Table 9, a frequency of the tallies for the first open-ended question is presented.

As noted, the greatest number of responses given in an open-ended manner, by the HBCU participants, regarding their perception of the most beneficial workshop activity, was for KATE, the systematic proposal development process. In fact, in'informal discussions, throughout all of the workshop sites, the HBCU participants, including those who

considered themselves as experienced proposal writers, indicated their immense pleasure with *KATE.* A significant number of these participants stated, during their receipt of follow-up technical assistance, that the use of this process in their efforts to develop a proposal, had allowed them, they believed, to produce a more competitive application. The presentations and opportunity to have interaction with the HRSA facilitators received the second highest number of open-ended comments. Many of these comments were quite extensive, and extremely laudatory regarding the apparent dedication and commitment of HRSA to the effort of trying to increase the involvement of HBCUs in their program activities.

Table 9

Frequency of Similar Comments Made by HBCU Participants on Open-Ended Questions About Most Beneficial Activity of Workshop

Most Beneficial Workshop Activity	Number of Times Mentioned
KA TE, the systematic proposal development process	28
Presentations by and interaction with the HRSA facilitators	22
Content of the overall workshop	19
The Activity Book, and its associated materials	6
The presentations on the programs of HRSA	4
The HRSA application review process	2

With respect to the second open-ended question, 10 of the HBCU participants indicated that they thought the workshop was comprehensive, and that they could not think of anything, at the present time, which might enhance the effort. The most requested additional activity related to more time for project and proposal development exercises.

Other suggested additional activities included more time for discussion with the mentors; a mini-proposal writing session; and discussion of strategies to overcome internal barriers to the development of research projects.

In summary, while the analyzed data from the Feedback *Form* does not lend to addressing the outcome measures specified in the logic model, they do provide sufficient information for answering, in part, the extent to which the workshop has been effective. Accordingly, based on the responses of the HBCU participants, as analyzed and presented in the tables and figures above, it is strongly implied that the workshop, its structure, content, materials, and presentations, were very effective. Thus, it can be stated with a high degree of assurance that, the *demonstration* component of the project was successfully implemented.

B. PARTICIPANT MEASURES OF SUCCESS

1. Comparison of Pre-Workshop and Post-Workshop Project Condepts

Each workshop participant was asked to submit a proposed project topic prior to attending the technical assistance workshop. This requirement was intended to give workshop facilitators and presenters some concrete basis for the provision of relevant information on HRSA programs, funding opportunities, and agency requirements, as well as giving the participants a focus for the development of an actual proposal after the workshop. As earlier indicated, the *Institute* made HRSA program and funding information available to all participants prior to the workshop by distributing copies of the Preview publication of HRSA grant announcements. It was evident that most participants used this information to hypothesize relevant projects that might be of interest. This is indicated in Table 10, where 50 of the 51, or 98 percent, of the official HBCU participants submitted a proposed project topic. To preserve the anonymity of the institutions participating in the

campus on-site workshop presentations, an identification number has been randomly assigned to each.

As shown in Table 10, the number of concept papers submitted after the workshop, by the official HBCU participants, was not as great as were the proposed topic submissions before the workshop. Only 13 of 51, or 26 percent made such submissions. However, when a comparison is made between the regional HBCU participants and the campus on-site participants, the difference is quite dramatic. For the regional participants, 9 of 16,or 56 percent, submitted concept papers after their workshop participation. In contrast, only 4 of 35, or 12 percent, of the campus on-site participants did so.

Table 10

Number of Participants By Site Submitting HRSA Relevant Project Topics Before and Concept Papers After the Workshop

NUMBER OF SUBMISSIONS	WORKSHOP SITE							TOTAL
	Silver Spring	New Orleans	Inst. No. 17	Inst. No.18	Inst. No. 19	Inst. No.20	Inst. No.21	
Topic Before Workshop Participation	9	6	7	9	8	4	5	48
Concept Paper After Workshop Participation	5	4	1	0	0	1	2	13

2. Proposal Submissions by Participants

One of the major hoped for impacts of which HRSA was desirous, as a result of participation in the technical assistance workshop by the HBCU attendees, is an increase in the number of grant applications and contract proposals that these attendees would submit, on behalf of their institutions, to their agency. As voiced by 'HRSA, an increase in application submissions for these awards, by the HBCUs, would be the true measure of

success for the technical assistance workshop. Ideally, this indicator, which is specified as an intermediate outcome in the logic model, would be most informative in a follow-up study, at least two years after the completion of the last workshop presentation. This is especially true in light of the fact that some of the grants that are being targeted by the participating HBCUs, have funding cycles that make them unavailable in the remaining months of the current fiscal year, or project period of performance. It should be noted, however, that the regional workshop participants and the campus on-site participants had the same number of funding cycles available to them, from the time they completed the workshop to the time of this report. Although a fully informative evaluation is not possible at this time, the preliminary data show that participating HBCUs already have been active in seeking HRSA funding. Table 11 indicates the number of these HBCU participants, by workshop site, as of June 30, 1999, who have submitted proposals to bureaus within HRSA. As previously mentioned, in some cases involving the campus on-site participants, two to four faculty participated in the workshop with the intention of submitting a joint proposal. For purposes of this data analysis, these joint submissions are counted as emanating from one participant in order to avoid over counting.

Even though the data are preliminary, it is sufficient to make some initial inferences about the differences between the regional workshop participants, and the campus on-site participants, with respect to the measure of proposal submissions. This is evidenced in Table 11, where the available data indicate that the two regional workshop presentations have been the most productive, at least initially, in producing the intermediate outcome of proposal submissions, as desired by HRSA. For the regional workshops, 9 of 16 HBCU participants have submitted proposals, compared to 3 of 35 official participants in the on-site presentations. In an effort to assess whether individuals who participated in the regional workshop presentations were more likely to submit a proposal than were individuals who participated in the campus on-site presentations, a chi square statistical test was performed. This test was possible, given that n was greater than 30. The results of the test suggest ($X^2 = 13.11$, $df = 1$, $p < 0.001$) that there was a better than 999 in 1000

chance that the proposal submission rate of the regional participants was significantly higher than those participants who participated in the on-site workshop presentations. Thus, the regional workshop presentations clearly allowed for a more effective production of proposals than did the on-site workshop presentations. Although it may be too early to draw firm conclusions, for reasons stated above, regarding the relative effectiveness of the two workshop methods as associated with proposal submissions, the preliminary data suggests that the regional workshop presentations have been more effective.

Table 11

Number of Grant Applications Submitted By Workshop Site

As of June 30 1999

Number of Proposal Submissions	Workshop Site						
	Silver Sprlng	New Orleans	Institution No. 17	Institution No. 18	Institution No. 19	Institution No.20	Institution No.21
	5	4	0	1	0	1	1

Further, the preliminary data on proposal submissions are encouraging. When these data are examined in more detail, it is apparent that some of the submissions represent a branching out of the HBCUs as they pursue funding that they did not have in prior years. This includes 2 new submissions for the Health Careers Opportunity Program (HCOP) funds, 2 new submissions for funding from the Nursing Education Opportunities for Individuals from Disadvantaged Backgrounds (NEOIDB) program, 2 new applications for HIV/AIDS planning grants, 1 new application for Nursing Special Projects funds, and 1 new application for a Center of Excellence. It should be noted that the available baseline data, for these submission reports, are in summary form from HRSA reports of funding awarded in FY 1998.

It is also important to examine the submissions data relative to the expectations that were articulated by the *Institute* prior to implementation of the project. The expectations can be summarized briefly in the form of three hypotheses:

(1) That at least 40 percent of the HBCU participants in each technical assistance workshop will submit proposals within 12 months from completion of the workshop.

(2) That at least 60 percent of the HBCU participants in each technical assistance workshop will submit proposals within 24 months from completion of the workshop.

(3) That the total number of submissions received by HRSA from the participating HBCUs within 12 months from the completion of all 7 workshops will equal at least 50 percent of the total number of participants.

As previously indicated, "participant" is used to refer to an individual person participating in the workshop, or to two or more persons who attended the workshop with the intention of working together on one joint submission. It also should be noted that the participant count does not include directors of sponsored programs offices who chose to attend the workshops in addition to the faculty from their institutions. By examining the number of participants and making calculations based on the hypotheses above, it is possible to arrive at an expected number of proposal submissions for each workshop.

Table 12
Number of Hypothesized Proposal Submissions by Workshop Site

Workshop Site	Number of Participants	Number of Hypothesized Submissions*	
		12 Months	24 Months
Silver Spring	8	3	5
New Orleans	8	3	5
Institution No. 17	10	4	6
Institution No. 18	7	3	4
Institution No. 19	8	3	4
Institution No. 20	5	2	3
Institution No. 21	5	2	3
Totals	51	20	30

** Rounded to the nearest whole number*

In regards to hypothesis No. 1, as presented in Table 12, the regional participants from both the Silver Spring and New Orleans workshop presentations, have already sustained the hypothesized, number of proposal submissions for the 12 month time frame.

In fact, the Silver Spring participants also have already sustained the hypothesized number of proposal submissions for the 24 month time frame. It should be noted that the baseline data regarding the 12 month and 24 month time frames are different for each of the workshop presentations. For example, the 12 month period for the Silver Spring participants, who attended the first workshop, would span from October 1, 1998 to September 30, 2000, given their workshop ended the last of September 1998. Comparatively, the 12 month time period for the last on-site presentation would extend from February 1, 1999 to January 31, 2000. Thus, although hypothesis No. 2 has not yet been sustained, there is still time for the hypothesis, for the 12 month period, to be accepted for the on-site HBCU participants. Further, the limited number of proposal submissions by the on-site participants also should be taken in the context of their academic year. For many of these HBCU participants, summer vacations start in June and extend to late August. Typically, at any institution of higher education, activity is limited for the pursuit of award opportunities during this time span.

In order for hypothesis No. 3 to be accepted, 26 proposals will have to be submitted by January 31, 2000. As of the writing of this report, 12 proposals, from both the regional and on-site participants, have been submitted.

In summary, analysis of the preliminary data indicate that the regional HBCU workshop participants have been more productive than the on-site participants, with respect to submission of proposals. Before this showing can be considered conclusive, however, another seven months, from the date of this final Report, must elapse, the time remaining for the HBCU on-site participants to sustain hypothesis No. 2. This same waiting period must be considered for acceptance or rejection of hypothesis No. 3.

3. Participants Seeking Peer Review or Other HRSA Committee Positions

Another intermediate outcome anticipated in the logic model of the technical assistance effort is the participation of HBCU personnel on peer review panels, advisory boards, or other committees established to assist HRSA in its programmatic activities. In contrast with proposal submissions, the data show the on-campus participants to have been much more active than the regional participants in seeking HRSA committee positions. A total of 12 on-campus workshop participants submitted resumes for consideration by HRSA regarding such positions. Table 13 shows the number of resumes submitted from each set of workshop participants. Only one of the regional workshop participants has submitted a resume, as of the time of this Final Report. In fairness to the regional HBCU participants, their limited number who have pursued committee positions, may be due to the fact that no special emphasis was placed on submission of resumes, as was done in each of the on-site presentations. A special letter, which solicits the involvement of the HBCU participants in all seven of the workshop presentations, will be sent during the first week of September, 1999. Given the performance of the regional participants on the other measures of success, it is believed that they also will be responsive to this letter of solicitation.

In summary, the data suggest that the workshop presentations have stimulated the interest of the HBCU participants in unfunded involvements with HRSA. Although, to date, this effect of the workshop presentations is not consistent, mainly due to a lack of emphasis on the part of the workshop facilitators during the regional presentations. Notably, as of the time of this Final Report, 2 applicants have been selected to serve as HCOP reviewers.

4. Participants Seeking IPA Positions at HRSA

An additional intermediate outcome is the possible involvement of workshop participants, or their colleagues, with HRSA through IPA assignments. So far, only one workshop participant has sought this type of involvement. As a preliminary result, this is a small but encouraging development.

Table 13

Number of Participants* Actively Seeking Involvement with HRSA Committees By Workshop Site As of June 30, 1999

Number Seeking Committee Assignments	Workshop Site						
	Silver Spring	New Orleans	Institution No.17	Institution No.18	Institution No. 19	Institution No.20	Institution No.21
	0	1	2	3	1	1	5

'In this case, 'participants" include all individual persons attending each workshop, except for sponsored programs directors.

5. Participants Obtaining HRSA Funds

As previously mentioned, this evaluation comes too soon after the completion of the workshop presentations to provide a definitive measure of the pertinent outcomes. It is encouraging, however, that some workshop participants have already succeeded in obtaining HRSA funding as a result of the knowledge gained and contacts made during the presentations. Two of the HBCUs, for example, have had grants awarded to them, and a third HBCU has had a grant application approved. All three of these are as of June 30, 1999, and were received by the regional workshop participants.

In addition, it is worth noting that two HBCUs submitted grant applications that have already been disapproved. While this is not an ideal result of the workshops, it represents an important degree of institutional learning, as the institutions have at least completed the application process and have received feedback that will, presumably, help them in making future submissions.

C. OTHER RESULTS

1. Observations by Workshop Facilitators

During the implementation of the technical assistance workshop presentations, the *Institute* received comments and made direct observations that pertain to three other pertinent outcomes:

1) The participation of representatives from multiple HRSA bureaus exposed HRSA staff to information that gave them a more comprehensive understanding of HRSA and its programs. Such exposure should enhance the ability of HRSA staff to cooperate in the development and implementation of cross-cutting programs, including efforts that could be of interest to HBCUs.

2) While HRSA initiated the technical assistance effort with the specific intent of increasing HBCU competitiveness in the grant process, the workshop participants expressed significant interest and obtained important information regarding the contract process at HRSA. Such information is increasingly important as an increasing number of Federal programs are being implemented through contracts, including some that had previously been funded as grants.

3) The regional workshop format appeared to have the unanticipated benefit of creating a 'captive audience." Nearly all participants at the regional workshops were able to give the technical assistance their undivided attention. By contrast, the on-campus workshops were undermined somewhat by the tendency of participants to step out of the sessions,

sometimes for extended periods of time, in order to address other responsibilities. One of these responsibilities involved teaching of classes.

2. Comparison of Costs and Benefits by Technical Assistance Method

In designing the demonstration and evaluation of HRSA technical assistance provision to HBCUs, the *Institute* was careful to maximize the comparability of the regional and on-campus approaches. The ultimate presentation of the workshop in seven locations, including two regional and five on-campus, provides only a small sample size in which many variables are potentially confounded. However, it is possible to make a practical comparison of the costs and apparent benefits of the two approaches. Specifically, the following costs and benefits are especially relevant:

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  Travel expenses for HBCU participants,
  Travel expenses for HRSA participants,
  Facility rentals,
  Labor effort required for logistical arrangements;

- **Benefits:**

  Number of HBCUs reached by HRSA,
  Access to HBCU administrators and multiple faculty as key catalysts,
  Ability to keep participants focused on the training.

Each of these costs and benefits is addressed separately in the following sub-sections.

a. Travel Costs for HBCU Participants

Given the importance of providing travel money to regional workshop participants as a means of ensuring their attendance, this cost makes the regional workshop significantly more expensive than the on-campus workshop. If, for example, the per diem rate for a major city is $150 and the average airfare and/or ground transportation costs for participants were $600, then the participation of each HBCU faculty member in a 2.5-day regional workshop would require an average of $1,050. This amount would not be required for an on-campus workshop. Given the intent of HRSA to involve 10 HBCU faculty members for participation in each workshop, HRSA would incur costs of $10,500 for a regional workshop that would not be needed for an on-campus workshop. It should be noted that these are conservative estimates, based on the assumption that some participants could drive to the workshop location, rather than fly.

b. Travel Costs for HRSA Participants

The difference in HRSA participant travel costs between the regional and on-campus workshop presentations would depend on the location of regional workshop presentations. In theory, the regional workshop presentations would be held in locations that ease the participation of HBCUs, in which case HRSA personnel would have travel expenses regardless of whether they traveled to a campus or to a selected regional setting. However, in many cases, it is likely that HBCU participants would welcome the opportunity to travel to the Washington, D.C. area, in order to participate. Thus, if the regional workshop presentations were held in the Washington area, the HRSA participants would not have travel costs. Using the same conservative estimate of $1,050 for transportation and lodging for each of five HRSA participants, the on-campus workshop presentations have the potential to include HRSA travel costs of at least $5,250 more than a Washington-based workshop.

c. Facility Rentals

The on-campus workshop presentations offer a slight cost advantage in that the HBCU would normally provide its facilities free of charge. By contrast, for regional workshops, a meeting facility would need to be rented. The cost of such a rental may be negligible, or it may be as much as $500 per day, depending on the particular circumstances of the facility. If a figure of $250 per day is used as a reasonable estimate, then the regional workshop can be expected to cost $750 more than the on-campus workshop in this particular cost category. Given the overall expense of either type of workshop, this is a small cost difference.

d. Labor Effort Required for Logistics

Given the fact that an HBCU normally volunteers to make necessary arrangements for on-campus meetings, this is another potential cost advantage of presenting the workshop on campus. The fact that HBCU participants would not need assistance in making travel arrangements suggests an even further reduction of logistical costs by presenting the workshop on-campus rather than in a regional setting. However, if it is assumed that HRSA might attempt to reach all 77 HBCUs that have not yet received technical assistance, plus, perhaps, a number of Tribal Colleges and Universities (TCUs) or other types of colleges and universities, this cost advantage could eventually be lost as HRSA would need to make arrangements for 10 times as many workshop presentations in the single-institution campus on-site format, as opposed to the IO-institution regional workshop format. Thus, this may be no advantage at all. In the short term, the logistical effort might be considered slightly more costly for the regional workshop than for the on-campus workshop.

e. Number of HBCUs reached by HRSA

One seemingly unique benefit of the regional workshop format is the fact that it gives HRSA a chance to assist 10 institutions at once. As discussed below, the nature of such assistance is limited, however, as it is provided to only a single individual from each institution. Despite this limitation, the preliminary data from the current demonstration and evaluation effort are remarkable in that they do not show any effect of that limitation. In fact, as earlier presented, participants in the regional workshop presentations have been more productive in submitting proposals to HRSA than their counterparts from the on-campus workshop presentations have been.

f. Access to Administrators and Multiple Faculty

One of the potential advantages of the on-campus approach was the possibility of creating a "critical mass" of interest in HRSA at a given HBCU by making the presentation to multiple faculty members and, possibly, to administrators as well. While it was presumed that this feature of the on-campus workshop would be beneficial, there is no evidence from the current demonstration and evaluation effort to support the notion that presentation to 10 individuals from one HBCU would yield greater proposal production than a presentation to 10 individuals from 10 different HBCUs.

g. Maintaining Participant Focus

As noted in a previous sub-section, one of the unique disadvantages of the on-campus presentation was the fact that some HBCU participants could not resist the temptation or, perhaps, obligation to step out of the workshop in order to address their day-to-day on-campus responsibilities, such as teaching. While both workshop approaches are likely to be beneficial in giving participants intense exposure to HRSA and methods of obtaining HRSA funding, it is evident that this basic benefit is more likely to occur when

participants are in a regional setting, removed from their campus duties. This fundamental difference must be considered a major advantage of the regional approach over the on-campus approach.

h. Summary of Cost and Benefit Differences on Key Dimensions

Over the long term, it is apparent that the regional workshop could satisfy HRSA's aim of assisting a large number of institutions more quickly than the on-campus workshop, simply by reaching more institutions at a time. When the costs of travel and facilities are taken into account, it is apparent that those expense categories are only about half as expensive for the on-campus workshop as they are for the regional workshop, but this advantage is moot over the long term, if the on-campus format requires 10 times as many workshop presentations as the regional format. Finally, the evidence from the current demonstration and evaluation shows that there is no clear advantage of the on-campus format in the outcomes that are achieved by participants and their institutions. If anything, the preliminary data discussed previously suggest that the regional format might be more productive in achieving the desired outcomes. Thus, taken together, all of these considerations point to the regional format as being the most cost-effective approach to this type of technical assistance to HBCUs.

VII. PROVISION OF FOLLOW-UP TECHNICAL ASSISTANCE

A. INTENT OF THE FOLLOW-UP TECHNICAL ASSISTANCE

As previously indicated, based on requests made by the HBCU participants, HRSA agreed to provide follow-up technical assistance in connection with the efforts of these institutional representatives, to submit a grant application to HRSA. The need for such provision, it is believed by HRSA, would allow for the hoped for increase in HBCU participation in HRSA's grant and contract processes to be maximized. The major intentions of the follow-up efforts, which would be provided by the *Institute*, are as follows:

- To use *KATE,* the systematic proposal development process, as a tool in helping the HBCU participants prepare the technical proposal portion of their grant applications to HRSA.

- To provide ready access to the *Institute* and the HRSA staff regarding questions related to the business portion of the HRSA grant application.

- To provide the HBCU participants with a "sounding board" regarding the feasibility of the concepts they developed for projects.

- To provide assistance to the HBCU participants in their efforts to prepare a budget for their proposed projects.

- To review the grant applications prepared by the HBCU participants for completeness, responsiveness to grant guidelines, grammar, format, and reasonableness of costs.

B. SCOPE OF THE FOLLOW-UP TECHNICAL ASSISTANCE

In an effort to effectively address the intent of the follow-up technical assistance provision, the following scope of activities was implemented by the *Institute:*

Activity 1. Made initial contact with each eligible HBCU faculty workshop participant.

- Developed a Project *Intent Form,* to determine the intent of each HBCU faculty member, who participated in the workshop on a regional basis and on-site at their campuses, for submission of a proposal to HRSA, and to determine their need for follow-up technical assistance;
- Developed a *Notification Letter,* which provided information to each HBCU about the extent of follow-up technical assistance provision; and
- Mailed the *Notification Letter* with the enclosed Project *Intent Form* to the HBCU faculty members who participated in the workshop on a regional basis and on-site at their campuses.

Activity 2. Established a schedule for each participating HBCU faculty member that requested the provision of follow-up technical assistance.

- Analyzed all of the *Project Intent Forms* returned by the participating HBCU faculty members.
- Produced a Master Schedule of technical assistance provision, which illustrated the overlap that would exist during the periods of service to all of the requesting HBCU participants; and
- Developed and mailed a letter to each of the HBCU faculty participants who requested technical assistance, which provided notification of the time periods that they would receive service.

Activity 3. Provided technical assistance to each requesting HBCU faculty member, based on the Master Schedule.

- Provided assistance in the development of the format for the proposals to be submitted by the HBCU participants;

- Provided guidance in the development of the background statement for the proposed project;
- Provided assistance in the establishment of measurable objectives or specific aims for the proposed project;
- Provided assistance in the development of the research plan or technical approach to the proposed project;
- Provided guidance in the development of the management plan for the proposed project;
- Provided assistance in the development of the abstract, or overview, for the proposed project; and
- Provided assistance in the development of the cost proposal or budget for the proposed project.

C. STATUS OF FOLLOW-UP TECHNICAL ASSISTANCE PROVISION

Efforts to provide follow-up technical assistance were categorized into four process modes: (a) mail, (b) telephone, (c) e-mail, and (d) site-visit. As of the writing of this report, no site-visits have been made to provide follow-up technical assistance; however, the other three modes have been used extensively. Also, as of the writing of this report, the official availability of follow-up technical assistance has ranged from four months to seven months, and is dependent upon the time that each workshop presentation was held. As indicated in tables below, the extent to which the HBCU participants have taken advantage of this availability is mixed. It should be noted that during the seven month span in which the follow-up efforts have been available, it was learned by the *Institute* that the following two classes of HBCU participants existed, with respect to their requirements for technical assistance:

- Level *I,* which includes those HBCU participants who require assistance in: identifying an appropriate programmatic area within one of the HRSA bureaus; conceptualizing a project related to the identified area; and in the

development of the proposal as part of the grant application to the identified program area.

- Level *II,* which includes those HBCU participants who only require assistance in the development of the proposal as part of the grant application to the program area that they have already identified.

The tables which follow report on the status of follow-up technical assistance provision to the HBCU participants, as of June 30, 1999. To preserve anonymity of the institutions and the individual HBCU participants, as in the previous section, they have been randomly assigned index numbers. The tables, as indicated, capture the following information:

- Whether the HBCU workshop participant was contacted by the *Institute* regarding notification of technical assistance availability;
- Whether the HBCU workshop participant officially requested technical assistance after being informed of its availability;
- The level of technical assistance needed as defined by the two categories;
- The type of technical assistance provided by the *Institute* or HRSA to those HBCU participants who took advantage of the availability; and
- Whether the HBCU participant has submitted a proposal to HRSA as of June 30, 1999.

As discussed in the Introduction of this report, the effort to provide follow-up technical assistance to the HBCU workshop participants was a third component added to the project shortly after the Silver Spring workshop. Thus, this effort was not included in the initial evaluation plan. Interestingly, however, analysis of the data collected on the status of follow-up technical assistance provision among the regional workshop participants and the participants in the campus on-site presentations of the workshop,

reveal similar findings as other measures used to answer the primary question of the project, Is it better to provide technical assistance to HBCUS through a regional process or through a campus on-site process?

Regional Workshop Presentations

Table 14
Status of Follow-up Technical Assistance Provision
Silver Spring Workshop

Institution Index No.	Contacted About TA		TA Requested		Level of TA Needed		Type of TA Provided			Proposal Submitted	
	Yes	No	Yes	No	I	II	Reg Mail	Tel	e-Mail or Fax	Yes	No
1	X		X		X			X			X
2	X		X			X				X	
3	X		X			X		X	X	X	
4	X		X			X		X	X	X	
5	X		X			X		X	X	X	
6	X		X			X					X
7	X			X	X						X
8	X		X			X		X	X	X	
Frequencies	8	0	7	1	2	6	0	5	4	5	3

Table 15
Status of Follow-up Technical Assistance Provision
New Orleans Workshop

Institution Index No.	Contacted About TA		TA Requested		Level of TA Needed		Type of TA Provided			Proposal Submitted	
	Yes	No	Yes	No	I	II	Reg Mail	Tel	e-Mail or Fax	Yes	No
9	X		X			X					X
10	X		X			X				X	
11	X		X		X					X	

Table 15 Continued

Institution Index No.	Contacted About TA		TA Requested		Level of TA Needed		Type of TA Provided			Proposal Submitted	
	Yes	No	Yes	No	I	II	Reg Mail	Tel	e-Mail or Fax	Yes	No
12	X		X		X			X	X		X
13	X		X		X			X	X	X	
14	X			Xa	Xa					X	
15	X		X		X						X
16	X			Xa	Xa						X
Frequencies	8	0	6	2	6	2	0	2	2	4	4

Table 16
Summary of Follow-up Technical Assistance Provision Status Frequencies
Regional Workshop Presentations

Workshop Site	Contacted About TA		TA Requested		Level of TA Needed		Type of TA Provided			Proposal Submitted	
	Yes	No	Yes	No	I	II	Reg Mail	Tel	e-Mail or Fax	Yes	No
Silver Spring	8		7	1	2	8		5	4	5	3
New Orleans	8		6	2	4	2		2	2	4	4
Frequency Totals	16	0	13	3	8	8	0	7	8	9	7

Information regarding the extent of follow-up technical assistance provision to the regional workshop participants is summarized in Table 16. Specific information about the Silver Spring workshop participants is presented in Table 14, with the same information about the New Orleans workshop participants being presented in Table 15. As seen in the summary Table 16, all 16 of the HBCU participants in attendance at one of the regional workshop presentations were contacted to determine their interest in, or need for, follow-up technical assistance. Contact was made at least twice with each of the HBCU

participants, once through the Notification *Letter*, earlier described, and by telephone for the other contact efforts. Table 16 also reveals that 81 percent, or 13 of 16 of the HBCU attendees at a regional workshop requested follow-up technical assistance. After reviewing the needs of the regional workshop participants, whether they requested follow-up technical assistance or not, it was determined that 8, or half of the attendees required Level *I* help. It should be noted that the regional workshop attendees who never responded with an idea for a project, after being contacted by telephone, were placed in Level *I*. There were two such participants from the New Orleans workshop, who are designated by an "Xa" in Table 15. The two major modes of follow-up technical assistance provision were by telephone and by e-mail or fax. Although no tests of statistical significance were carried out which might show direct correlation between provision of follow-up technical assistance and submission of proposals to HRSA, the data does infer that a relationship existed. This is evidenced in that 9 of the 13 regional HBCU participants who requested and received follow-up technical assistance, also submitted proposals. No proposals, as of the writing of this report, have been submitted by those regional HBCU participants who did not receive follow-up technical assistance. For the majority of the regional participants who did make submissions, the most common types of assistance provided were related to their draft proposals, such as:

- editorial support, including checking for grammar, style and spelling;
- development of measurable objectives;
- development of the rationale or need for the proposed project;
- development of the evaluation plan; and
- preparation of the budget for the proposed effort.

In summary, merit definitely appears to exist for the initial strong expression of interest by the regional HBCU attendees, for the provision of technical assistance as a follow-up to their workshop participation. This is evidenced by the advantage they took

of the availability of this assistance, as well as by the number of proposals they have submitted to HRSA, to date. In fact, the submission of 5 proposals by the Silver Spring HBCU participants, and the submission of 4 by the New Orleans participants, either equal or exceed the number of proposals projected, or hypothesized, by the *Institute* to be submitted within a 12 month period after participation in a workshop. A more detailed discussion about the hypotheses established forsubmission of proposals by workshop site has been presented in the previous section.

HBCU On-Site Presentations

Table 17

Status of Follow-up Technical Assistance Provision
Institution No. 17 Workshop

HBCU Participant Index No.	Contacted About TA		TA Requested		Level of TA Needed		Type of TA Provided			Proposal Submitted	
	Yes	No	Yes	No	I	Ii	Reg Mail	Tel	e-Mail or Fax	Yes	No
17.1	X		X		Xa						X
17.2		X		x	NA						X
17.3	X		X		X						X
17.4	X		X		X			X			X
17.5	X		X		X			X			X
17.6	X		X		X			X			X
17.7	X		X		Xa						X
17.8	X		X		X			X			X
17.9	X		X		X			X			X
17.10	X		X	X	XA						
Frequencies	9	1	8	2	9	0	0	5	0	0	9

Xa = HBCU participants who did not respond to the request for a project idea
NA = Unable to contact about *availability* of *follow-up* technical assistance

Table 18
Status of Follow-up Technical Assistance Provision
Institution No. 18 Workshop

HBCU Participant Index No.	Contacted About TA		TA Requested		Level of TA Needed		Type of TA Provided			Proposal Submitted	
	Yes	No	Yes	No	I	II	Reg Mail	Tel	e-Mail or Fax	Yes	No
18.11	X			X	Xa						X
18.12	X			X	Xa						X
18.13	X			X	Xa						X
18.14	X		X			X	X	X	X	X	
18.15	X			X	Xa						X
18.16	X			X	Xa						X
18.17	X			X	Xa						X
Frequencies	7	0	1	6	6	1	1	1	1	1	6

Table 19
Status of Follow-up Technical Assistance Provision
Institution No. 19 Workshop

HBCU Participant Index No.	Contacted About TA		TA Requested		Level of TA Needed		Type of TA Provided			Proposal Submitted	
	Yes	No	Yes	No	I	II	Reg Mail	Tel	e-Mail or Fax	Yes	No
19.18	X			X	Xa						X
19.19	X			X	Xa						X
19.20	X			X	Xa						X
19.21	X		X		X						X
19.22	X			X	Xa			X			X
19.23	X			X	X a						X
19.24	X		X		X			X			X
19.25	X			X	xa						X
Frequencies	8	0	2	6	8	0	0	2	0	0	8

Table 20

Status of Follow-up Technical Assistance Provision
, Institution No. 20 Workshop

HBCU Participant Index No.	Contacted About TA		TA Requested		Level of TA Needed		Type of TA Provided --			Proposal Submitted	
	Yes	No	Yes	No	I	II	Reg Mail	Tel	e-Mail or Fax	Yes	No
20.26	X				Xa						X
20.27	X		X		X		X	X			X
20.26	X			X	Xa						
20.29	X			X	Xa					X	
20.30	X		X			X		X	X		X
Frequencies	5	0	2	3	4	1	1	1	1	1	3

Table 21

Status of Follow-up Technical Assistance Provision
Institution No. 21 Workshop

HBCU Participant Index No.	Contacted About TA		TA Requested		Level of TA Needed		Type of TA Provided			Proposal Submitted	
	Yes	No	Yes	No	I	II	Reg Mail	Tel	e-Mail or Fax	Yes	No
21.31	X		X		X			X		X	
21.32	X		X			X		X	X		
21.33		X		X	NA						X
21.34	X			X	X						X
21.35	X		X		X						X
Frequencies	4	1	3	2	3	1	0	2	1	1	3

Table 22

Summary of Follow-up Technical Assistance Provision Status Frequencies

HBCU On-Site Workshop Presentations

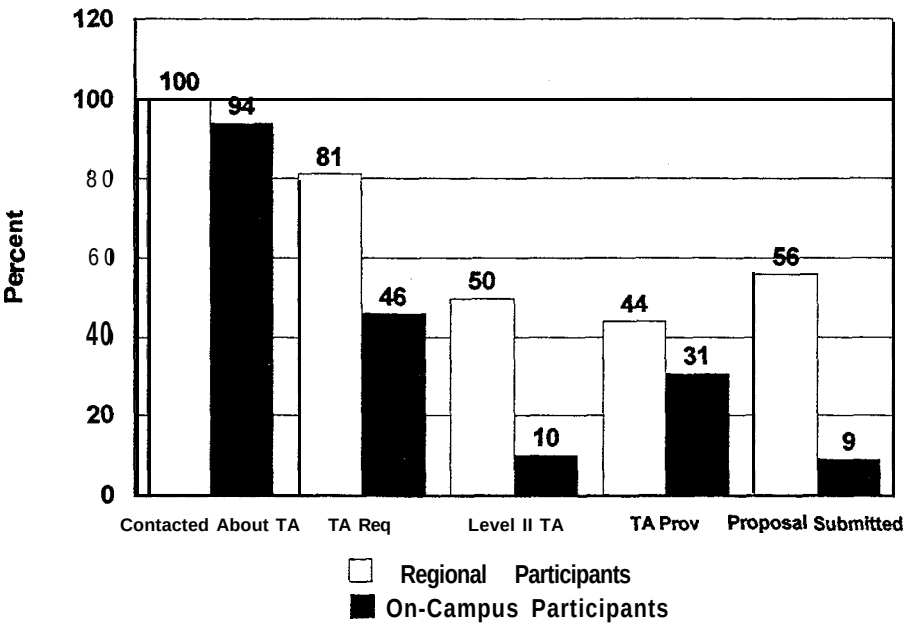
Institution Index No.	Contacted About TA		TA Requested		Level of TA Needed		Type of TA Provided			Proposal Submitted	
	Yes	No	Yes	No	I	II	Reg Mail	Tel	e-Mail or Fax	Yes	No
17	9	1	8	2	9			5			9
18	7		1	6	6	1	1	1	1		6
19	8		2	6	8			2			8
20	5		2	3	4	1	1	4	1	1	3
21	4	1	3	2	3	1		2	1	2	3
Frequency Totals	33	2	16	19	30	3	2	11	3	3	29

As shown in Table 22, the HBCU participants in the campus on-site workshop presentations were not extremely active in requesting follow-up technical assistance, or in the receipt of it. Out of the 33 HBCU on-site participants contacted about the availability of follow-up technical assistance, only 16 requested such assistance, and only 1 1 actually received the help. As of June 30, 1999, only 3 of a possible 35 HBCU participants in the campus on-site workshop presentations have submitted a proposal to HRSA. As with the regional workshop participants, the HBCU on-site participants who never responded with an idea for a project, after being contacted by telephone, were placed in Level *I,* with respect to their technical assistance requirements. These persons are represented in the individual on-site tables with an Xa.

A comparison between the regional workshop participants and the campus on-site participants is illustrated in Figure 12, with respect to the extent of their follow-up technical assistance involvement. As can be seen, in every instance, the HBCU regional workshop

Figure 12

Comparison of Follow-up Technical Assistance Involvement Between the Regional HBCU Workshop Participants and the On-Site Participants



participants were more active, regarding the extent to which follow-up technical assistance was requested and provided, and in the development of a proposal for submission to HRSA. Special attention is called to the relationship between the provision of follow-up technical assistance and the submission of proposals. As shown in Figure 12, it is inferred that the greater amount of follow-up technical assistance provided, the greater the number of proposals will be submitted. It should be noted that the numbers on which these percentages have been based, were not weighted. Had they been, the differences between the regional and on-site comparisons would have been greater.

VIII. CASE STUDIES

As indicated in the Evaluation *Plan* of this report, each of the seven workshop presentations is to be considered as a case. This approach is in accord with the qualitative nature of the evaluation, and allows for a descriptive presentation to be made about each case. The case studies also serve as a reinforcement to the assumptions, actions, and the various anticipated outcomes put forth in the logic model. Further, the case studies are intended to be explanatory on key issues which, according to the various measures of success, have had an impact on the results of these measures. Accordingly, the discussions in this section provide descriptive information about the following key issues, related to the HBCUs that participated in the workshop presentations, both regional and campus on-site:

- the profiles of the participating institutions;
- the sponsored programs offices (SPOs) at these institutions;
- interactions with the HBCU workshop participants; and
- the workshop implementation process at each site.

For the regional presentations, this information is summarized for all of the institutions in attendance at either the Silver Spring workshop or the New Orleans workshop. This will involve eight HBCUs at each of these sites. For the campus on-site presentations, more detail is provided about each of the five institutions that hosted a workshop.

A. THE REGIONAL PARTICIPANTS

1. Silver Spring Workshop

The Silver Spring workshop was the first of two regional presentations. Invitations were extended to ten HBCUs. Although all ten of the HBCUs accepted the invitation to

attend, only eight representatives showed up for participation. These absences were due to unexpected occurrences. The discussion which follows, therefore, will involve only those eight attendees.

a. Summary of Institutional Profile

As indicated in Table 23, of the eight participating HBCUs, two are private institutions and six are public. Four of the schools are small, and four are large, ranging from the smallest being Bennett College with an enrollment of 600, to Tennessee State University, the largest attendee, with an enrollment of over 8,600. These size designations are based on the earlier presented criteria of 4,000 and under being small, and over 4,000 being considered as large.

Table 23

Summary of Institutional Profile
Silver Spring Workshop

Institution Name	Institutional Profile							
	Type		Enrollment	Health Related Program Curriculum				
	Pub	Priv		Nurs	Allied Health	Vet	Pharm	Other
Benedict College		X	2,138					
Bennett College		X	600	X	X			X
Fayetteville State University	X		4,609	X				X
Kentucky State University	X		2,356					X
South Carolina State University	X		5,000	X				X
Tennessee State University	X		8,643	X	X			X
Univ of DC	X		6,000	X	X			X
Univ of Virgin Islands	X		806	X				

With the exception of one HBCU, all of the Silver Spring participants came from institutions that had at least one health related program offering. In fact, 4, or half of the 8 institutions had offerings in three different health curricula areas. Further, six of these HBCUs have programs in nursing. Some of the program offerings in the "other" category in Table 23 include health administration and health education. Given all of these health related offerings, the HBCUs participating in the Silver Spring workshop are poised to address the programmatic activities of HRSA. Nevertheless, in analyzing the information provided by the directors of sponsored programs offices at all of the HBCUs represented by the Silver Spring participants, the assumptions in the logic model regarding their relatively low participation in HRSA programmatic activities, and lack of awareness about HRSA, is sustained for each institution. This information on the SPOs was collected during three telephone surveys, inclusive of the needs assessment survey.

b. Status of Sponsored Programs Offices Summary

As discussed in the section on *Development of the* Project, the role of the sponsored programs office in institutions of higher education is an extremely important one. This is because of the responsibility that these offices have for addressing pre-award and post-award activities related to contracts and grants, which according to the logic model, an increase in these awards is anticipated as a final outcome. Given this importance, the status of the SPOs of the HBCUs whose representatives participated in the Silver Spring workshop have been reviewed and analyzed. For the purpose of this report, status is defined as:

- the number of staff in the SPO;
- the facility in which the SPO is housed;
- the budget for the SPO; and
- the position within the institutional hierarchy where the SPO is located.

It should be noted, based on two previous surveys conducted by the *Institute*, that the status is quite variable in those HBCUs that have SPOs. For the HBCUs where an SPO does not exist, there are offices which carry out similar functions, often referred to as *Federal Relations,* or *Grants Administration.*

For the Silver Spring participants, all of their institutions have an official office named Sponsored Programs. The status of these SPOs, however, is reflective of the sizes of the institutions. In fact, there appears to be a direct correlation between the available resources for operation of the SPOs at the HBCUs of the Silver Spring participants to the sizes of their schools. However, the commitment of the institutions' administration towards such an office was not necessarily reflective of size. For example, Benedict College, one of the smaller HBCUs participating in the Silver Spring workshop, has an aggressive president who highly fosters the importance of the SPO. Limited resources for overall institutional operating expenses, however, constrains the amount of financial support that can be directed to the operation of the SPO.

With respect to the experience of the directors of the SPOs of the Silver Spring participants, their length of time in the position ranged from ten years to as few as two years. Even those who had only been in the position for two years, they were very knowledgeable about what functions the office should carry-out, in order to be successful in the pursuit of grants and contracts. The number of staff within the SPOs of the HBCUs of the Silver Spring participants, ranged from two to a high of nine persons. Very few of these SPOs had students working in the office, but for those that did, the students were, for the most part, in a work study program.

The kind of support that the SPOs of the Silver Spring participants provide to their faculties is wide ranging. This includes assistance in identifying opportunities for pursuit of an award, periodic preparation of funding bulletins, conducting grant writing workshops, providing clerical support, reviewing proposals, and providing post award administration.

The person within the institution to whom the directors of the SPOs of the Silver Spring participants reported is also varied. These include the President, Vice President for Research, Vice President for Government Affairs, Vice President for Academic Affairs, Dean of Graduate Studies, and the Assistant Provost for Academic Programs and Research. According to the reports from two evaluations conducted by the *Institute*, the extent to which an SPO is successful, especially related to a "buy-in" by the faculty, is highly dependent upon the position the office is located in the organizational structure of the institution. Faculty "buy-in" for the merit of the SPO is extremely important because, the ultimate decision for the pursuit of an award opportunity resides with the faculty.

All of the directors of the SPOs of the Silver Spring participants viewed the need for improved administrative infrastructure at their institutions as being essential. This includes the need for improved methods and resources for identifying award opportunities, marketing the capabilities of their institutions to agencies such as HRSA, and proposal production. The following challenges were also expressed by some of the director's from the smaller schools, regarding their SPOs:

- The challenge of increasing institutional commitment to the acquisition and management of sponsored programs, so that it equals the institutional commitment to fundraising by the office of development;
- The challenge of increasing institutional experience with contracting;
- The challenge of improving upon the limited institutional experience in the financial administration of project-specific grants or contracts; and
- The challenge of improving limited opportunity for pursuing biomedical research awards, due to aging laboratories and other programmatic infrastructure needs.

c. ***Interactions with Sponsored Programs Offices***

The directors of all the SPOs of the Silver Spring participants were extremely enthusiastic to learn more about HRSA, and the opportunity to pursue grant and contract

awards within this agency. It is significant to note that interactions with all of these SPO directors occurred during the entire period of the project. This allowed the *Institute* to become intimately knowledgeable about the intent and motivation of each HBCU regarding their ultimate pursuit of HRSA programmatic activity involvement. The greatest interactions with these SPO directors, from the HBCUs represented at the Silver Spring workshop, occurred during the requests for technical assistance, as related to the submission of proposals to HRSA by their faculty. Importantly, it should be noted that, for those HBCUs where the interaction with the SPO director was extensive, the submission of proposals to HRSA was the greatest.

d. Interaction with Participants

Interaction with the participants in the Silver Spring workshop began immediately upon receipt of their names and other information from the SPO directors. Initial contact with these selected participants was then done by telephone, and followed by a letter. Prior to the workshop, most of the interactions centered around logistics for the meeting, making travel arrangements, and an overall introduction to the *Institute*. The greatest amount of time spent interacting with the Silver Spring participants, during this pre-workshop period, resided in discussions about the selection of a topic for a proposed project concept, for ultimate submission of a proposal to HRSA. One of the reasons for such extensive interaction regarding the proposed topics was due to the necessity of assisting these participants in selecting topics that were relevant to the programmatic priorities of the various HRSA bureaus. The following topics were selected, prior to the Silver Spring workshop, by the faculty participants from each of the represented HBCUs:

- *Investigating the Role that African-American Fathers Play in Caring and Nurturing the Health, Growth, and Development of Children in South Carolina*
- *Preparation for Entry into Nursing*
- *Assuring Success in Nursing for Individuals from Disadvantaged Backgrounds*

- *Enhancing the Admissions of Minority Students to Professional Schools in Kentucky*
- *Project Outreach:* An Orientation *to* Nursing
- *Recruitment and Retention of Individuals from* Disadvantaged Backgrounds *into Professional Nursing*
- *Nursing Education Opportunities for Individuals from Disadvantaged Backgrounds*
- *HCOP Training Program for the University of the Virgin Islands*

During the workshop, interactions continued with the HBCU participants by the *Institute* and HRSA staff. Issues regarding the substance of the meeting, hotel billing, changes in travel plans, and the provision of follow-up technical assistance were all items that were addressed. Since the Silver Spring workshop, the *Institute* staff continues on-going communication with the participants regarding technical assistance. Participants also continue to interact and seek information from the staff of HRSA, mainly about funding opportunities and about peer review committee assignments.

e. Workshop Implementation Process

The Silver Spring workshop, being the first of all the planned workshop presentations, based on feedback from the participants, was effective and smoothly implemented. Because it was the only workshop presentation, local to both HRSA and to the *Institute,* it had the largest number of facilitators take part in the effort. Even though, in essence, the Silver Spring workshop was of a pilot nature, it set the tone and expectations for the remaining workshop presentations. One major challenge faced was adherence to the strict time-frame of the planned agenda. According to the participants, there was an enormous amount of information provided about HRSA and its programmatic activities, and not enough time to ask all of the related questions in the allocated time frames for the various sessions. Nevertheless, because the Silver Spring workshop was held in a hotel environment, away from the typical on-campus distractions, the setting provided for complete attention and

concentration by the HBCU participants. This was an important feature of the regional workshop presentations, in that the analyzed data from the measures of success show that this mode of presentation had greater performances than the campus on-site efforts.

2. New Orleans Workshop

The New Orleans workshop was the second of two scheduled regional workshop presentations. Eight of the ten HBCUs that agreed to participate in this workshop were in attendance. Unforeseen circumstances prevented the other two HBCUs from participating.

a. Summary of Institutional Profiles

As shown in Table 24, the HBCUs represented at the New Orleans workshop range in size, based on student enrollment, from 1,100 to 10,000. Five of the HBCUs participating in this workshop are state-supported, and three of the schools are private. The private HBCUs offer only the baccalaureate degree, while all of the public schools have graduate programs.

Table 24

Summary of Institutional Profile
New Orleans Workshop

Institution Name	Institutional Profile							
	Type		Enrollment	Health Related Program Curriculum				
	Pub	Priv		Nurs	Allied Health	Vet	Pharm	Other
Alabama State University	X		5,500		X			
Alcorn State University.	X		3,000	X	X			X
Bethune-Cookman College		X	2,300	X	X			

Table 24 Continued

Grambling State University	XX	I	7,400	X				X
Langston University	X		4,200	X	X			X
Morris Brown College		X	1,900					X
Texas Southern University	X		10,000		X		X	X
Tougaloo College		X	1,100					X

With respect to curricula offerings, all eight of the participating HBCUs have health-related academic programs that correspond to HRSA's programmatic activities. Four of these HBCUs offer degree programs in nursing, five offer programs in allied health, and a pharmacy program exists at one of the HBCUs. The category titled "Other" included programs in gerontology, health administration, environmental health, pre-nursing, medicine, and dentistry. From their program offerings, it can be seen that the HBCUs participating in the New Orleans workshop have the institutional capability to compete for HRSA grant and contract awards. However, the receipt of such awards by these institutions, to date, has been limited.

b. Status of Sponsored Programs Offices

As defined in the previous case study, the status of sponsored program offices refers to their staff size, office space and location, the SPO budget, and the SPO's position within the institutional hierarchy. The information gathered from the telephone surveys indicates that the size of the school, small or large, is suggestive of the resources devoted to the SPO at the respective institution. All of the HBCUs represented at the New Orleans workshop, with the exception of one, have an established Sponsored Programs Office. The Office of the Provost performs that function at this institution. The SPO staff makeup at the smaller HBCUs participating in the New Orleans workshop, with enrollments of less than 4,000

students, tend to consist of a director and an administrative support person. The larger HBCUs in attendance at the New Orleans workshop, tended to have at least two professional staff members and two support persons in their SPOs. The HBCU with the largest SPO staff, among the New Orleans participants, was comprised of six professionals and three administrative assistants. At three of the eight HBCUs represented at the New Orleans workshop, the person directing the activities of the sponsored programs office held the position of vice president for planning, institutional advancement, and/or governmental affairs, an indication of their position in the institutional hierarchy. Without exception, all of the SPO directors from the HBCUs represented at the New Orleans workshop, expressed that the functions of their offices would be greatly enhanced with additional staff and/or funds. From the *Institute's* discussions with these SPOs, a common thread ran through their expressed need for an improved administrative infrastructure at their institutions. It was their belief that the services their offices could provide to their faculty members, who were interested in pursuing grant and contract awards, would be significantly enhanced by such an improved infrastructure. Accordingly, the majority of the SPO directors, from the HBCUs of the New Orleans participants, indicated that one of their major goals is to enhance or expand the functions that their offices might carry out in support of the award pursuance activities of their faculties.

In comparison with any institution of higher education, the tenure of service for the majority of the SPO directors of those HBCUs represented at the New Orleans workshop, was quite stable. For example, five of these SPO directors have held their positions for five or more years. Two of the SPO directors have been in their positions less than four years, and one director has had only a few months experience.

c. Interactions with Sponsored Programs Offices

All of the SPO directors of the HBCUs represented at the New Orleans workshop, welcomed the opportunity for their institution to participate in the HRSA technical

assistance workshop. They were pleased that the intended content of the workshop would go beyond the usual grant-writing exercises, and would be centered around the expressed needs of HBCUs. As with the other regional workshop, initial contact with the SPO directors of the HBCUs scheduled for participation in the New Orleans workshop, was made by telephone. The purpose of this initial contact was to: (1) determine the HBCUs' desire to participate in the demonstration effort, (2) determine their perceived needs for technical assistance, and (3) gather information on the administration of their SPO. Subsequent verbal and written communications with these SPOs were to assist in identifying the appropriate faculty for attendance of the New Orleans workshop, and to provide information which might assist the selected faculty members, from their respective institutions, in identifying a HRSA program related to their interests, for which they might pursue a grant award.

Through the numerous interactions with the SPO directors, from the HBCUs participating in the New Orleans workshop, the *Institute* gained a greater understanding of their institutions' needs, perceived obstacles, and constraints under which their offices operate. Most of these directors viewed the participation of their faculty in the technical assistance workshop as an appropriate impetus for generating greater interest in and commitment to pursuing HRSA grant and contract awards. One of the expected outcomes specified in the logic model is to have such interest generated.

d. Interactions with Participants

Contact with the New Orleans HBCU participants, prior to the workshop, provided them with a degree of familiarity with the Institute, and added to their comfort level at the workshop. Although the workshop was designed for faculty members, one of the participants was an SPO director. This person, who previously had been mentioned as having been in his position less than a year, determined that he was the best choice to

participate in the workshop. As he indicated, in addition to writing proposals for his small institution, he also held faculty rank and taught health-related courses.

Prior to the workshop, six of the eight participants submitted the following potential project topics, five of which were relevant to HRSA programs:

- *Training of Health Education Assistants/Peer Educators for Sick/e Cell Disease Education and Prevention Programs*
- *Improving Children's Health through the Provision of Mobile Primary Health Care at Their Schools*
- *Retention and Support Program for Nursing Students from Disadvantaged Backgrounds*
- *Implementation of a Health Careers Opportunity Program*
- *Program to Increase Interest in Identification and Recruitment of Minorify Nurses: Pre-College/Bridge/Support Program*
- *Establishing a Geriatric Education Training Cenfer*

Five of the eight New Orleans workshop participants indicated that, the dialogue and interaction they had with the HRSA and peer facilitators, was most beneficial to them. The opportunity, they said, to interact with these facilitators was a necessary first step to developing a concept paper tailored to HRSA's programmatic activities.

Shortly after the New Orleans workshop, the HBCU participants were advised of the availability of follow-up technical assistance. This was identified as a continuing need by many of the participants, in which they had significant interaction with the *Institute.* To date, four of the New Orleans participants have submitted proposals to HRSA. This is an impressive number, given these submissions were made within six months of attending the technical assistance workshop.

e. Workshop Implementation Process

Given the distance and schedule conflicts, fewer HRSA staff attended the New Orleans workshop than the Silver Spring workshop. Therefore, adjustments and substitutions had to be made to the schedule. Sorely missing was representation by the Division of Disadvantaged Assistance, considering the popularity among HBCUs for the Health Careers Opportunity Program, that is administered by this division. Some discussion of this program was made, however, by other staff from the Bureau of Health Professions. Based on the the Silver Spring workshop experience, a conscientious effort was made to adhere to the time frames of the presentations, and to allow more time for questions by the participants. Verbal feedback and responses on the feedback form, indicated the New Orleans workshop was smoothly implemented.

In summary, the two cases, Silver Spring and New Orleans, which comprised the regional workshop participants, were almost mirror images of each other, with respect to their institutional profiles and the status of their sponsored programs offices. Significant interaction occurred with both the directors of the SPOs and with the participants, which allowed for a reinforcement of the assumptions specified in the logic model about their limited participation in the programmatic activities of HRSA. With respect to the anticipated outcomes, as previously presented, the HBCUs in the two regional case studies were very active in their request for follow-up technical assistance and in their submission of proposals to HRSA. They have not been as active, however, in their application to HRSA for participation on peer review committees.

B. THE ON-SITE PARTICIPANTS

Like the regional workshop presentations, there were several key issues relating to the assumptions and outcomes specified in the logic model, that are noteworthy of discussion about the campus on-site presentations. Thus, the following discussions provide descriptive information about the five HBCUs that served as hosts to a technical assistance workshop. Table 25 provides a summarized profile of each of these institutions. Given that only one HBCU was represented at each on-site presentation, a more detailed discussion is provided than for those HBCUs that participated in the regional presentations.

Table 25
Summary of Institutional Profiles
Campus On-Site Hosts

Institution Name	Institutional Profile							
	Type		Enrollment	Health Related Program Curriculum				
	Pub	Priv		Nurs	Allied Health	Vet	Pharm	Other
Albany State University	X		3,200	X	X			X
Jackson State University	X		7,100		X			X
North Carolina Central University	X		5,500	X				X
Tuskegee University		X	3,080	X	X			
Winston Salem State University	X		2,655	X	X			

As shown in Table 25, four of the five HBCUs that served as on-site hosts for the HRSA technical assistance workshop are publicly controlled. By size standards earlier described, three of the HBCUs are considered small, and the other two are considered

large. All of the on-site hosts have some sort of health-related curricula offering, with one of the schools possessing a college of veterinary medicine. As will be discussed in their individual case presentations, two of the on-site HBCU hosts have graduate programs of study.

1. Albany State University

a. Institutional Profile

Albany State University (ASU), founded in 1903, is located in southwest Georgia, in the city of Albany. The university is currently undergoing a $140 million reconstruction after suffering a devastating flood in 1994. With a mission of teaching, research, and community service, ASU has a student population of 3,200, and serves 24 counties in southwest Georgia. More than two-thirds of the students live off campus; 60 percent are women; and 40 percent are older adults. Through its four academic colleges, Arts and Sciences, Business, Education, and Health Professions and Allied Health Sciences, ASU offers more than 40 undergraduate degree programs. The Graduate School offers six advanced degrees, including the Master of Science in Nursing.

b. Participant Profile

The majority of the participants in attendance at the ASU workshop were from the School of Health Professions and Allied Health. This included the Dean from that school, and nine faculty members from either the departments of nursing, allied health, or the Department of Natural Sciences. Two staff members from the Southwest Georgia Area Health Education Center, a HRSA grantee, also participated in the workshop. ASU has partnered with the Center on earlier grant pursuits.

c. Status of the Sponsored Programs Office

The office at Albany State University which carries out sponsored programs functions, is known as the Office of Grants and Contracts (OGC). It is staffed by two specialists who report to the Director of Institutional Advancement and to the Executive Assistant to the President. As of the writing of this report, the position of Director of the Office Grants and Contracts is vacant.

Some of the responsibilities carried out by the OGC at Albany State include, assisting faculty in the identification of funding opportunities and then, in the preparation of proposals to the identified funding sources of these opportunities. Some of the assistance in the proposal development efforts of their faculty involve conducting background research; interpreting eligibility and proposal requirements; reviewing proposal packages, and obtaining official signatures before submission to the funding source. Given the nature of these responsibilities, the ASU Office of Grants and Contracts primarily is concerned with pre-award activities. The Office of Fiscal Affairs is responsible for post-award administration at ASU.

d. Interactions with the Sponsored Programs Office

When contacted during the needs assessment phase of the project, the Coordinator for the OGC cited the need to strengthen the administrative infrastructure at ASU, in order for the institution to enhance its efforts for the pursuance of award opportunities. He expressed satisfaction, however, with the support that the OGC presently receives from the university's administration. This was contrary to information provided by some of the other SPO directors at the HBCUs participating in the technical assistance effort, who often cited the strong need for increased support for their offices, by the institution's administration.

The senior grants officer, at ASU, who had been in the position for four years, expressed that the staff of their office needed additional training in the proposal development process, and would benefitgreatly from the workshop presentations, as would their faculty. The OGC appears to have a good working relationship with the faculty. This was evidenced in discussions with the workshop participants who stated that the OGC is very responsive to their requests for support services. Although it was the responsibility for each faculty member at ASU, who was in attendance at the workshop, to request follow-up technical assistance from the *Institute*, the OGC was very active in assisting with making these requests. The major request for technical assistance was in connection with ASU's first application for a Health Careers Opportunity Grant. The OGC provided generous support to the faculty during the preparation of their proposal for this award.

e. Interactions with Participants

Prior to the workshop, the interaction with the selected faculty participants was limited. However, during and after the workshop, the interaction was extensive. Much of this interaction after the workshop, was related to the provision of follow-up technical assistance to four of the ASU participants who were desirous of submitting a joint proposal. Their request for assistance included reviewing the substantive content of the proposal they anticipated developing, and editing and proofreading the proposed effort, prior to submission to HRSA.

f. Workshop Implementation Process

At the request of the OGC Coordinator, the ASU site visit was changed from the usual Wednesday morning to Friday mid-day schedule, to Tuesday through Thursday, mid-day. To ensure coverage for all of the workshop topics and to allow for consistency in the workshop presentations, facilitator substitutions were made to the following topics:

- The Contract Award Process
- The Grants and Cooperative Agreement Process, and
- An Overview of the Bureau of Health Professions.

It should be noted that ASU complied with the *Institute's* request to grant the faculty release time to attend the workshop. The faculty's continuing presence with few interruptions contributed greatly to the smooth implementation of the workshop. In fact, the workshop participants at ASU were extremely attentive, and seemed totally absorbed in the presentations. The Dean of the College of Health Professions and Allied Health Sciences had a huge impact on the success of the workshop at ASU, in that she led by example and fully participated in all aspects of the technical assistance effort. She also insisted that the faculty do the same. Her display of ASU's institutional commitment to the HRSA technical assistance workshop was among the greatest of the campus on-site presentations. This was evidenced by her invitation of the deans from other divisions to visit the workshop and to make comments about their support of the effort.

It was obvious that the ASU faculty participants had carefully reviewed the HRSA Preview, prior to the workshop, because their selected topics greatly corresponded to the grant announcements listed in the publication. Five of these topics related to nursing, two to allied health, and one to the Health Careers Opportunity Program (HCOP).

2. Jackson State University

a. Institutional Profile

Jackson State University (JSU), a publicly-supported institution, located in the capital city of Jackson, was designated as the Urban University for the State of Mississippi in 1979. With an enrollment of over 7,000 students, JSU ranks among the Nation's ten largest HBCUs. Degree program offerings at JSU include the baccalaureate, masters, and doctoral levels.

While the training of teachers remains at the core of JSU's mission, the institution graduates large numbers of minority professionals, trained in science and technology. The School of Science and Technology at JSU has enrolled over 50 percent of the majors in biology, chemistry, computer science, mathematics, and physics in the state of Mississippi. As a result, this school at JSU is steadily establishing itself as a major research and development center on a national scale.

In 1991, the Department of Psychology, in the School of Liberal Arts, established the *Community* Health *Center* (CHC) to conduct treatment and intervention research which might be funded by Federal or state funds. Currently, the CHC has several Federal and state grants to evaluate community-based interventions, to reduce the risk of sexually-transmitted diseases among adolescents, and for the prevention of HIV/AIDS among vulnerable populations in Mississippi. More recently, the first classes of students were admitted to the newly established School of Allied Health, which offers the bachelor's degree in Healthcare Administration and the master's degree in Communicative Disorders. The School of Allied Health is seeking state approval to expand its program offerings to train professionals to meet Mississippi's growing healthcare workforce needs.

b. Participant Profile

Participants from a variety of disciplines were in attendance at the JSU workshop. These included two faculty members from the Department of Biology; two from the Department of Psychology; two from the Department of Sociology; and two from the Department of Social Work. Faculty representing JSU's Mississippi Urban Research Center, Community Health Program, and the Jackson Heart Study Coordinating Center, also were in attendance at the JSU workshop.

Selection of the participants from among the JSU faculty to participate in the workshop was entirely different from the selection process which occurred at the other on-campus sites.

At these sites, the workshop participants were selected by the SPO director. At JSU, formal notification was made, by the SPO, to the pertinent departments, soliciting application for participation in the workshop. In turn, the SPO would make selection from among the applicants. According to the SPO director at JSU, it would have been political suicide if their office had made the initial selections.

c. Status of the Sponsored Programs Office

The Office of Sponsored Programs Office (SPO) at JSU, is located organizationally within the Office of Research and Development (ORD), which was established in 1994. The ORD is headed by a Vice President who reports directly to the President, and has signature authority for grants, contracts and cooperative agreements. Under this structure, the SPO serves as the central unit responsible for coordinating research and sponsored programs activity, university-wide, and is the link between JSU and external funding sources. Administratively, the SPO's major responsibilities include:

- assisting in grant and contract budget preparation and review;
- securing internal approvals for proposal submission; maintaining records and databases on all grant activity with external sponsors;
- conducting grant and contract negotiation and administration;
- preparation and negotiation of contractual agreements, such as, teaming agreements, subcontracts, and confidentiality agreements;
- serving as post-award liaison with funding sources; and
- overseeing and coordinating compliance and regulatory functions.

The SPO is staffed by a Director, a Sponsored Programs Specialist, a Data Management Specialist, and two administrative assistants. This well-staffed SPO allows for JSU to be quite pro-active in pursuing funds from external sources.

d. Interactions with Sponsored Programs Office

When JSU was initially contacted about their interest in participating in the technical assistance project, the SPO director readily indicated her desire that HRSA visit her institution. In support of her desire, the SPO director was in frequent contact with the Institute, providing appraisals of JSU's progress in preparing for the site visit. Much of this interaction dealt with a special effort for the JSU workshop, that would be different from the other on-site presentations. Considering that the Administrator of HRSA has given strong support for the HBCU technical assistance effort, and that he is a native of the state of Mississippi, an invitation was extended to him for attendance at the JSU workshop by the Director of HRSA's Office of Minority Affairs, M. June Horner, the sponsor of the project. Additional planning was required by the SPO, in preparation for Dr. Fox's attendance. Significant interaction between the *Institute* and the SPO occurred during the plans for the special effort. As part of the special effort for Dr. Fox, JSU hosted a welcoming reception the night prior to the workshop. All of the logistical support for this effort, such as securing the facility, food, and transportation for the workshop facilitators and mentors, was provided by the SPO.

Of special note, is the interaction that occurred after the workshop with the JSU SPO, in their efforts to encourage faculty use of the technical assistance, that would be provided in a follow-up manner, related to the development of proposals for submission to HRSA. Accordingly, the OSP designated a staff person within their office to act as liaison between the faculty and the Institute, and/or HRSA. Because someone in the SPO was assigned to assist the faculty in conducting background research, in preparation for the development of their proposals, the SPO stayed in contact with both HRSA and the *Institute,* more than the SPOs from the other sites. Further, on behalf of two faculty members in the Psychology Department, the SPO requested additional information from the *Institute* on establishing a non-profit corporation. In response, the SPO was sent materials and information on the entire process, practically a do-it-yourself kit.

e. Interactions with Participants

Given the nature of the process established by the SPO, to have a liaison between the Institute and the selected faculty participants, the interaction with these participants was limited prior to the workshop. Through this established process, the JSU participants submitted 12 topics prior to the workshop, the largest number received from all of the on-campus sites. Following the workshop, three faculty members submitted well-developed concept papers.

The Tuesday evening reception, prior to the workshop, provided an informal setting for conversation between the JSU participants, and the workshop facilitators and mentors. Serving as hosts for the reception were the President of JSU at the time, Dr. James Lyons, and the Vice President for Research and Development, Dr. Betty Fletcher. During this setting, faculty members were eager to discuss their project ideas with the HRSA staff, and to receive feedback, informally, about the merit of their ideas. Unfortunately, three faculty members were disappointed to learn that their proposed project did not correspond to HRSA's programmatic activities, but were better suited to the programs of other DHHS operating divisions. In general, the JSU participants expressed excitement about the prospect of identifying and developing projects with the potential for HRSA funding.

f. Workshop Implementation Process

Due to the visit of Dr. Fox, the usual workshop introductory session of one hour, was extended to two hours. This allowed for opening remarks to be made by Dr. Fox, and for questions to be directed to him by the audience,. It should be noted that, in addition to the JSU workshop participants, the audience also was comprised of several administrators from JSU, including Vice-Presidents, Deans, and Department Chair. As a native Mississippian, Dr. Fox was well-known to the audience. He spoke on recent HRSA initiatives, HRSA priority programs and cross-cutting issues in which HRSA is involved.

In that the content aspect of the workshop began two hours later than the usual workshop start time, adjustments had to be made to the overall schedule to allow sufficient time for each presentation. Late day presentations were shifted to early the next morning, and the workshop began at 8:30 a.m. rather than 9:00 a.m. The revised schedule met with the satisfaction of the participants. Of note about the JSU workshop is that, the topic on preparing the grant application was greatly expanded to allow for a more in-depth coverage of *KATE*, the systematic proposal development process. This modification was in response to suggestions from the regional workshop participants who, on their feedback forms, and in anecdotal comments, expressed that more time was needed for this presentation. Aseparate notebook, supplemental to the workshop's *Activity* Book, was developed and produced for the presentation on *KATE.*

3. North Carolina Central University

a. institutional Profile

North Carolina Central University (NCCU) is located in the eastern section of the Piedmont area, in the city of Durham. As such, the 103-acre campus of NCCU is situated within the internationally known Research Triangle. In 1923, NCCU became the first state-supported liberal arts college for African Americans. With a student population of 5,500 and 250 full-time faculty, NCCU offers programs in 34 majors at the undergraduate level and 28 majors at the graduate level. Although teaching is the primary focus of the universitystudents may select from programs offered in the Schools of Business, Law, Library and Information Sciences, and the College of Arts and Sciences. The undergraduate health-related programs at NCCU are nursing, and health education. A graduate level communication disorders program also is offered.

b. Participant Profile

There were thirteen participants in attendance at the NCCU workshop. They were associated with three departments: Nursing, with six attendees; Health Education, with five attendees; and Physical Education, with two attendees. NCCU was one of the HBCUs participating in the workshop whereby two to four persons anticipated submitting a joint proposal.

c. Status of the Sponsored Programs Office

The workshop scheduled for NCCU was planned with the former director of the Office of Sponsored Research and Programs (OSRP), who departed the university prior to the presentation. As of the writing of this report, the position of the OSRP director is vacant. The responsibilities of this office are being handled, in an interim manner, by the Assistant Vice Chancellor for Academic Affairs. A national search is being conducted for a candidate to fill the vacancy.

The support staff for the OSRP at NCCU consists of two people, an Awards Assistant and a Grants Development Assistant. A third support position, Clerical Assistant, is also vacant. The OSRP Director reports to the University Provost.

The OSRP is responsible for activities which assist and support the pursuance of grants, contracts, letters of agreement and institutional grants. Pre-award activities of the OSRP include:

- Identification of opportunities and sources of external funding;
- Provision of assistance to the faculty with the preparation of proposals; and
- Review of the proposal and budget prior to submission to the Chancellor for final approval and signature.

The OSRP maintains an informative web site stating its mission, purpose, and guidelines and procedures relevant to acquisition of grant and contract awards. Post-award activities are implemented by the Office of Contracts and Grants, which is responsible for financial administration of all awards to the university.

d. Interactions with the Sponsored Programs Office

The former director of the OSRP welcomed the offer to conduct the workshop on NCCU's campus, and expressed that it would be of great benefit to the faculty. She offered suggestions on the contents of the workshop presentations relative to administrative infrastructure, articulated NCCU's need for technical assistance in great detail, requested that the faculty be given release time to attend the workshop, and encouraged the faculty to focus on HRSA-related topics, rather than research interests relevant to other DHHS operating divisions. Although the director had departed NCCU two weeks prior to the workshop, all logistical arrangements for the presentation had been made. The support staff had been well briefed, and were prepared to assist the *Institute* in conduct of the technical assistance effort.

e. Interactions with Participants

The Chairman of the Health Education Department opened the workshop with welcoming remarks, and served as the lead faculty member throughout the presentation. The discussions that ensued after the topical presentations often focused on experiences and lessons learned from earlier proposal preparations and submissions to Federal agencies. The participants generally expressed a need for increased support from the university administration to alleviate obstacles that prevent the faculty from pursuing grant and contract awards. Further, the faculty perceived the administrative infrastructure, involving the sponsored programs operation as being weak, and in need of change. The separation of pre- and post-award activities between OSRP and the Office of Grants and Contracts was also questioned by the workshop attendees.

f. Workshop Implementation Process

The HRSA facilitators made a strong showing at the NCCU workshop. No substitutions were necessary for this site visit since each bureau was represented. The NCCU workshop did differ in one respect from others. In addition to the morning and afternoon beverage breaks, lunch was also served in the meeting room. The participants and facilitators had no change in scenery the entire day. By afternoon, some found their attention waning.

4. Tuskegee University

a. Institutional Profile

Founded by Booker T. Washington in 1881, Tuskegee University is a co-educational, privately controlled, professional, scientificand technical institution of highereducation. It has five academic units, which include the College of Liberal Arts and Education, the College of Agricultural, Environmental and Natural Sciences, the College of Business, Organization and Management, the College of Engineering, Architecture and Physical Sciences, and the College of Veterinary Medicine, Nursing and Allied Health. As shown in Table 25, there are 2,708 undergraduate students enrolled in Tuskegee. The graduate schools enroll another 372 students, 226 of whom are professional students in the School of Veterinary Medicine.

In keeping with the "one-medicine" concept, in 1997, the School of Veterinary Medicine merged with the School of Allied Nursing and Allied Health to form the College of Veterinary Medicine, Nursing and Allied Health. Thus, the four programs now within this college are: veterinary medicine, nursing, medical technology, and occupational therapy, with a total enrollment of about 500 students.

b. Participant Profiles

There were nine representatives from the faculty who participated in the Tuskegee workshop. Three of these were from the College of Veterinary Medicine, and six from the College of Nursing and Allied Health. The faculty rank of these participants ranged from the assistant professor level to the level of full professor. In addition to the faculty participants, two staff members from the Office of Sponsored Programs, within the Division of Research and Sponsored Programs, attended most of the workshop sessions.

c. Status of Sponsored Programs Office

At Tuskegee University, the Vice President of the Division of Research and Sponsored Programs is responsible for all pre-award and post-award activities. Notable among the pre-award activities are:

- Assessment of Tuskegee's capability to conduct various types of research, and to implement other types of projects; this assessment is made once every year;
- Promotion and marketing of Tuskegee's capabilities in research, and other project areas, to potential funding sources;
- Identification of funding opportunities for the faculty in research and other project areas; and
- Coordination of the development of all proposals which might be submitted to the various funding sources.

The DRSP has a staff of 14 persons that work in the Office of International Programs and the Office of Sponsored Programs, sub-components of the Division.

d. Interactions with Sponsored Programs Office

Due to the busy schedule of the Vice President for the Division of Research and Sponsored Programs, much of the interaction with this office, prior to the workshop, took place with the Manager of Planning and Logistics. Mainly, her efforts were related to selection of the workshop participants, and the determination of project topics, relevant to HRSA, that ultimately would be proposed by the selected participants. Other pre-workshop interactions with the Division staff involved determining a date for presentation of the workshop, in which the new Director for one of the HRSA bureaus, the Bureau of Health Professions, could attend. In addition to the intent for the new director to discuss current initiatives, and cross-cutting issues related to his bureau, it was hoped that he could meet with the President of Tuskegee, to discuss potential projects, which might be mutually beneficial. Unfortunately, the new bureau director was unable to attend the workshop, due to an unexpected request to attend Congressional budget hearings about his bureau, and the prior commitment of the President, that precluded his availability on the date set by the DRSP for the workshop.

All of the logistical arrangements for the Tuskegee workshop were carried out by the DRSP. This included making initial contact, on behalf of the *Institute,* with the Kellogg Center, the on-campus conference facility at Tuskegee University. During the workshop, held at Kellogg Center, members of the OSP were quite active in the presentation activities. Interaction after the workshop with the DRSP and OSP staff have been limited. The DRSP has left it up to the individual faculty participants to determine what their needs would be for follow-up technical assistance.

e. Interactions with Participants

Prior to the workshop, interaction with the Tuskegee participants was limited. During the workshop, however, the interaction was significant. This especially was true during the one-on-one sessions, where the Tuskegee participants were able to talk extensively with the

HRSA mentors about their proposed project ideas. Unfortunately, the enthusiasm regarding these interactions, did not carry over to the follow-up technical assistance that was made available to the participants, as evidenced by the requests for follow-up technical assistance, or the lack thereof. However, a few of the participants did take advantage of the follow-up technical assistance availability, and have interacted with the *Institute* in efforts to prepare a proposal submission. In one such instance, the participants who were working on a joint submission, received follow-up help in the development of their proposal, inclusive of substantive editing, and suggestions for content revisions and/or expansion. Additionally, this group was sent copies of highly rated, previously funded proposals, as examples of competitive submissions.

f. Workshop Implementation Process

The Tuskegee workshop was the last of the campus on-site presentations. Based on the formative modifications, resulting from all of the other workshop presentations, the structure and content of the technical assistance program was well established. Thus, the presentation received by the Tuskegee participants, is the final format for the demonstration aspect of the project. In essence, this final format has emanated from six prior pilot tests. Of significance about this final format is that, sufficient time was available for questions from the participants to be answered; for the one-on-one sessions with the HRSA mentors and peer facilitators; and for the presentation on KATE, the systematic proposal development process.

There was high enthusiasm, on the part of the participants, for the content of the workshop. These participants, it should be noted, included the faculty and members of the Office of Sponsored Programs. Like the other campus on-site presentations, some of the faculty participants could not resist leaving the workshop, during the two and one half day period, to teach their classes. While this is important, it did have some impact on the potential knowledge gain by these participants, as with the other on-site presentations.

5. Winston Salem State University

a. Institutional Profile

Founded in 1892, Winston-Salem State University (WSSU) is the first African-American institution of higher education, in the Nation, to grant a degree in elementary school teacher education. In 1972, WSSU, which is located in Winston-Salem, North Carolina, became one of sixteen constituents of the University of North Carolina system. Of the nearly 3,000 students enrolled at WSSC, 83 percent are African-Americans and 15 percent are White.

There are two health related curricula offerings at WSSU: nursing and allied health. The Nursing School, which was established in 1953, offers the Bachelor of Science degree. An undergraduate degree in allied health also may be obtained from WSSU, from one of four programs: Clinical Laboratory Sciences, Therapeutic Recreation, Physical Therapy, and Occupational Therapy.

WSSU has had previous HCOP grants, and is in the third year of its fourth HCOP award. The profile of the WSSU's capability, however, poises the institution to take advantage of other HRSA programmatic activities.

b. Participant Profile

The ten participants at the WSSC workshop, represented a wide range of health and health-related professions. They consisted of: the chairperson of Clinical Laboratory Sciences; the interim Chair, and an Assistant Professor from the Department of Physical Therapy; the Director, and an Associate Professor from Health Sciences; an Associate Professor from Physical Sciences; the Director of the Division of Health Sciences; the Director of the Nurse-Managed Health Care Center; a Professor in Occupational Therapy; and two Assistant Professors in the Department of Social Sciences, Physical Education and Education.

c. Status of Sponsored Programs Office

There are four entitiesat WSSC that have some responsibility for sponsored programs activity:

- The Sponsored Programs Office, comprised of a director and a secretary, has the responsibility for coordinating faculty efforts in proposal development, and the coordination of some post-award activities;

- The Division of University Advancement and Media Relations, which has the responsibility for marketing the capabilities of WSSU in research and other program areas to potential funding sources;

- The Office of Institutional Effectiveness, which has the formal responsibility for annually conducting an assessment of WSSU's institutional capabilities; and

- The Office of Grants and Contracts, which, in conjunction with the Sponsored Programs Office, coordinates the post-award administration of all contracts and grants received by WSSU.

Although the four offices, described above, allow for the semblance of an administrative infrastructure at WSSU, it appears that some overlap in responsibilities exist. The current trend, as reported in several studies, is for the establishment of a centralized comprehensive sponsored programs office, that carries out all of the pre-award and post-award activities at an institution, "under one roof".

d. Interactions with Sponsored Programs Office

Although four entities at WSSU have some pre-test and post-award responsibilities, the primary contact for the *Institute* was with the centralized Sponsored Programs Office. Accordingly, significant interaction with this office occurred before, during, and after the workshop. The SPO director, in fact, spent considerable time in efforts to select the appropriate faculty who would serve as workshop participants. After their selection, she again dilgently worked to assist them in proposing a project topic that would be relevant to HRSA. During the workshop, the SPO director set an example to faculty by sitting in on all the presentations and delivering informative comments and feedback about particulars of the proposal submission process at WSSU. The SPO director also was responsible for having the Chancellor welcome the HRSA continency to the WSSU campus. Additionally, the SPO staff person was available to deliver telephone messages, make extra copies of hand-outs, and to fulfill any other unexpected need by the participants and/or the facilitators.

After the workshop, the primary interaction with the SPO involved assisting the faculty in their requests for follow-up technical assistance.

e. In teractions with Participants

As with the other campus on-site presentations, interaction with the WSSU participants was limited prior to the workshop. During the workshop, as a group, the WSSU participants interacted extensively with the HRSA staff. This was especially true during the one-on-one sessions with the HRSA mentors. Of note, was the continental breakfast which was arranged by the SPO prior to each morning's session. This allowed for a very informal atmosphere for participant interaction, and exchange of business cards. Many of the WSSU participants, at that time, were able to express their strong desire to serve on peer review committees. Accordingly, they submitted their resumes during and after the workshop.

One of the greatest interactions with the WSSU participants, after the workshop, involved the provision of follow-up technical assistance in the efforts of WSSU to establish a community health center. This effort, which emanated from an idea of the Director of the Division of Health Sciences, involved restoring and utilizing an abandoned railroad depot near a public housing complex for the community health center. With technical assistance from the *Institute* and the Bureau of Primary Health Care, the WSSU Health Sciences Director worked on an $8 million proposal to establish that community health center.

Unfortunately, she was not able to submit the proposal by the deadline date. It is her intent, however, to make the submission during the next funding cycle.

f. Workshop Implementation Process

On the first day of the workshop, there were eight WSSU participants present, and on the last day, twelve participants, many of whom were new faces, were in attendance. Several of the initial participants were program directors or department heads, who subsequently were replaced by their faculty associates. This could be construed as a decision by the various department heads to allow as many individual faculty members, as possible, to participate in the workshop, thereby allowing for the spread of information gained to a wider audience. Additionally, time and work constraints, relative to their particular jobs, kept the faculty flowing in and out of the sessions. By the afternoon of each day, most of the staff from the morning sessions had excused themselves, and in some instances, were replaced by new faces. Only one of the health professions faculty members participated in the workshop from the beginning to the end. As previously indicated, the SPO director attended every workshop session. All of the faculty members who did participate in the workshop, however, expressed seriousness about applying for HRSA funds. This was evident during the one-on-one discussions, whereby many of the participants had well-formulated project ideas, and were desirous of knowing which HRSA Bureau might be best for ultimate submission of a proposal related to their project ideas.

In that the WSSU workshop was next to the last of the campus on-site presentations, the format and content for the technical assistance effort was beginning to take final form. For the most part, the agenda was adhered to in a timely fashion. As an aside presentation, one of HRSA mentors, who is a member of the Public Health Services Corps, at the request of one of the participants, provided a brief presentation to her class about opportunities within the Corps.

In summary, the case studies support the discussions in previous sections of this report that, the campus on-site workshop presentations are not as effective as the regional workshop presentations, especially as related to having a "captive" audience for the duration of the workshop. Invariably, at all five on-site presentations, many of the faculty participants would leave the workshop, during important presentations, to teach their classes, or to attend to other day-to-day responsibilities. While they all returned, their temporary absence had an impact on their knowledge gain. This is evidenced in the pre and post tests, as discussed in an earlier section. The case studies also highlight the important role of the Sponsored Programs Office (SPO), to the success of the on-site presentations. Further, according to the case studies, provision of logistical support to the conduct of the on-site presentations, and conduct of the participant selection process, are independent of the size of the SPO. In other words, those HBCUs that had a small SPO organizational structure, were just as helpful as those HBCUs with larger SPO staffs, in all efforts by the Institute to conduct the workshop. Similarly, with respect to size, the case studies revealed that the large HBCUs are no more productive than the small HBCUs, with respect to proposal submission to HRSA. This suggests that small HBCUs have capabilities which may be of service and benefit to HRSA.

One major positive factor about the campus on-site presentations, as gleaned from the case studies ,is that they lend themselves to broad institutional participation at the site where the workshop is conducted. This broad participation allows for increased awareness and knowledge, throughout the institution, about the programmatic activities of HRSA, an anticipated outcome specified in the logic model. Another positive factor about the on-site

presentations, as shown by the case studies, resides in the greater submission of applications by the participants for service on peer review committees, than did the regional participants. This success, however, may be more of a function of the emphasis placed on peer review involvement, during the on-site presentations, than occurred at the regional presentations.

Even though more time had been allotted at each on-campus workshop, than at each regional workshop for the presentation of KATE, the systematic proposal development process, the case studies indicated that the on-campus participants were desirous of an even greater time allocation. The additional time, these participants expressed, should be used for more hands-on activities related to ***KATE.***

IX. FINDINGS AND CONCLUSIONS FROM THE EVALUATION

A. FINDINGS FROM EVALUATION QUESTIONS

In order to put the many findings, as presented in the previous sections, into a meaningful context, it is most appropriate to summarize them as they pertain to the 16 subordinate questions posed in the Evaluation Plan. The findings from answering these questions are directly related to the assumptions and anticipated outcomes specified in the logic model, developed for the evaluation component of the project. Additionally, these findings serve as support for the answer to the primary *evaluation question:*

- *Is it better to provide technical assistance to HBCUs through a regional workshop presentation or through a presentation of that workshop on-site at their campuses?*

Based on an analysis of the data, of both a quantitative and qualitative nature, the answer to this primary question resounds quite clear that, it is better to use a regional format for presentation of technical assistance to HBCUs. In support of this primary answer, the following answers to the subordinate questions are presented.

1.1 Did the needs assessment provide insight to support or refine the assumptions of the technical assistance effort?

Yes, the needs assessment was found to have provided valuable guidance in the selection of workshop topics, the identification of appropriate HBCU representatives to participate in the workshops, and the selection of facilitators who could address HBCU needs and interests. While the list of anticipated topics did not change, certain issues, such as the development of competitive proposals, were given greater emphasis in response to the expressed interests of the targeted HBCUs.

1.2 Did the *Institute* succeed in developing a workshop that was relevant to the needs of HBCUs and of HRSA?

Yes, the workshop agenda and topics were selected in a manner that was consistent with the information provided by the HBCU interviewees during the needs assessment, as well as being consistent with the desires of HRSA expressed during the development of the demonstration aspect of the project.

1.3 Did the *Institute* succeed in presenting the workshop as planned, in both the regional and campus on-site formats?

Yes, with minor deviations from the schedule of presentations, the *Institute* and the selected facilitators presented materials consistently, in accordance with the design that was established for the workshop materials. Based on feedback following the two regional workshop presentations, which were conducted prior to the five campus on-site-presentations, the materials were expanded and slightly reorganized to give greater attention to the elements of successful proposal writing.

1.4 Did the *Institute* succeed in making known the availability of follow-up technical assistance to guide project development and proposal production?

Yes, the *Institute* made follow-up telephone calls to all of the individual workshop participants from HBCUs, following the mailing of written notification that follow-up assistance would be available. Unfortunately, only 48 percent of the campus on-site participants requested such assistance, compared to 81 percent of the regional HBCU participants. Ultimately only 11 of 35 of the HBCU on-site participants actually took advantage of the follow-up technical assistance, compared to 13 of 16 of the regional HBCU participants who received this mode of help.

1.5 Did HBCU participants actually gain knowledge from the workshop in the presented topical content areas?

Yes, the results of the pre-test and post-test indicate that those participants who completed both tests did, on average, demonstrate knowledge gains in pertinent topics. This is evidenced by an overall aggregate gain of 20 percentage points from the pre-test to the post-test by the HBCU workshop participants. For the HBCU regional workshop participants, the aggregate gain was 35 percentage points, compared to a 14 percentage point aggregate gain for the campus on-site participants.

1.6 Did HBCU participants gain useful reference documents regarding HRSA programs, funding opportunities, and requirements for submissions and project management?

Yes, the HBCU participants received materials in a specially developed *Activity* Book, organized in a three ring binder, which included the schedule of workshop events, topics that were to be addressed in the workshop, objectives of the workshop activities, and supplemental informative documents related to many of the topics. The workshop facilitators distributed additional documents as relevant reference materials. This was true at both the regional and campus on-site workshop presentations. Based on feedback from the regional workshop participants, regarding the importance of the topic on *Writing the Proposal for the Grant Application*, using KATE, the systematic proposal development process, a second binder with expanded materials on this process, was developed and produced for the campus on-site HBCU participants.

1.7 Did HBCU participants establish meaningful contacts with HRSA personnel who could assist with project development, identification of funding opportunities, or other modes of HBCU involvement with HRSA?

Yes, the format of the workshop allowed for the HBCU participants to receive practical specific answers to their questions about project development and funding

opportunities, during the workshop presentations, which were made by HRSA staff serving as facilitators from the various HRSA bureaus. Additionally, the format of the workshop provided for one-on-one sessions to be held with HRSA staff, serving as mentors, and the HBCU participants. These sessions allowed for the HBCU participants to establish meaningful contacts, which were followed up on after the workshop was over. In fact, since the last workshop was presented, the HRSA facilitators have been most helpful in providing follow-up information to about 16 of the HBCU participants, regarding the pursuit of funding opportunities within their respective bureaus.

1.8 Did the regional setting facilitate the development of joint project ideas among multiple HBCUs participating in each regional workshop?

Yes, during the Silver Spring workshop, the HBCU participants from the nursing disciplines began discussion about the formation of a consortium for the joint pursuance of funding opportunities. As of June 30, 1999 no proposals have been developed by this fledgling group. No such joint efforts, to date, have been generated by the New Orleans group.

1.9 Did the on-campus setting facilitate broader institutional participation in efforts to increase HBCU involvement with HRSA?

Yes, this was evident on two levels. On the first level, the HBCU participants, mainly who were from the faculty ranks, were able to express their views on the effectiveness or lack of effectiveness of their institution in assisting them to locate and pursue Federal funding opportunities. These expressions were typically heard by the Chairpersons from various departments, as well as by the directors from the Sponsored Programs Office (SPO), who were usually present at the on-site workshop. Accordingly, these administrators were able to learn of the frustration and needs of their faculty in locating sources of funds and in the preparation of competitive proposals. Thus, the workshop provided both the faculty

and the administrators with information that would help them to make changes for the future.

On the second level, the on-campus setting allowed for a far greater number and variety of faculty to attend the workshop, and thus, gain pertinent Federal funding information.

1.10 Did the workshop participants submit proposed project topics, actually identify feasible funding opportunities, subsequently develop concept papers, submit proposals, and/or receive HRSA funding as a result of their knowledge gained in the technical assistance workshop?

Yes, of the 51 HBCU participants, 48 submitted a potential project topic prior to their participation in the workshop. However, after the workshop, only 13 of the 51, or 26 percent, made concept paper submissions. A comparison of the these concept paper submissions between the regional participants and the campus on-site participants is quite dramatic, with 9 of 16 of the regional participants submitting such papers, and only 4 of 35 campus on-site participants making similar submissions. Although, 31 ,or 61 percent of all the HBCU participants indicated, during and after the workshop, that they had identified a feasible funding opportunity within HRSA as a result of the presentations made by the HRSA facilitators from the various bureaus, and the one-on-one sessions. with the HRSA mentors, as of June 30, 1999, only 12 of the 51 HBCU participants have submitted proposals to HRSA. Of this total, 9 of 16 regional HBCU participants have submitted proposals, compared to only 3 of the 35 campus on-site participants making proposal submissions. Of the twelve proposals submitted by the HBCU workshop participants, only four, to date, have been notified of their approvals.

1.11 Are HBCU personnel pursuing other modes of involvement with HRSA, such as peer review committees, advisory panels, and IPAs, as a result of the contacts made in the technical assistance workshop?

Yes, to date, 12 HBCU participants, mostly from the campus on-site workshop, have applied to serve on peer review committees. Additionally, one of the HBCU peer facilitators has applied and been accepted for an IPA assignment in HRSA. There have been no reports, to date, of any HBCU participants requesting to serve on an advisory panel.

2.1 Is there a pattern of differences between the success indicators for regional workshop participants and the success indicators for campus on site workshop participants?

Yes, among all measurable indicators of success, the trend of success is in the favor of the regional workshop presentations. This is evidenced in knowledge gained by the HBCU participants, as measured by the pre- test and post-test, where the gain of the regional participants was 1. 6 times that of the campus on-site participants. This success pattern continues with the proposal submission indicator, where 9 of 16 regional HBCU participants have submitted proposals to HRSA, compared to 3 of 35 of the campus on-site participants.

2.2 What is the ratio of the tangible costs associated with each approach-how much more expensive is one approach than the other for reaching a single HBCU participant?

The tangible costs for involving a single HBCU participant in a campus on-site workshop is about 50 percent less than the tangible costs for the involvement of that same participant in a regional workshop. This is based on an assessment of the average costs for travel, lodging, food and incidentals, for the HBCU participants, the HRSA staff, the Institute staff, and the peer facilitators. However, based on a cost-benefit comparison, the regional workshop is more cost-effective to present. This analysis takes under consideration the desired goal of HRSA to

reach all of the Nation's HBCUs for provision of technical assistance. Thus, over the long term, while the tangible costs per person might be less for participation in a campus on-site presentation, if such a presentation requires 10 times more workshop presentations to attain the desired HRSA goal than use of the regional format, then, the tangible cost advantage for the on-site presentation is moot.

2.3 What is the ratio of the tangible successes achieved by each approach-how much more successful is one approach than the other for garnering the involvement of each potential Project Director, or HBCU?

The four most tangible measures of success related to the project are proposal submission, receipt of contract or grant approval, application for service on a peer review committee, and participation on an IPA assignment. The ratio for proposal submission is 3 to 1 in favor of the regional HBCU participants, and 4 to 0 for the regional participants' receipt of grant application approvals. For the peer review applications, the ratio is 6 to 1 in favor of the campus on-site participants. To date, no HBCU participant, from either the regional workshop presentations or the campus on-site presentations, have applied for an IPA assignment.

2.4 Are there any unique benefits to one approach that appear to be essential for reaching the various desired outcomes?

Yes, one of the most unique benefits which appears to be associated with the success of the regional workshop, over the campus on-site workshop, is the allowance for a captive audience. Thus, while the regional workshop format, requires the participants to travel from their home campus to an out of town site, it appears to promote increased learning and focus by the participants. As evidenced by the measures of success, the regional participants seem to benefit more when they are removed from on-campus distractions, and the tendency to carry out their daily campus responsibilities and participate in the workshop at the same time.

2.5 Are there any unique costs to one approach that fundamentally undermine the practicality of using that approach to achieve the various desired outcomes?

No, there appears to be no unique costs that would undermine the presentation of either the regional workshop or the campus on-site workshop, in an effort to reach the desired outcomes specified in the underlying logic established for evaluation of the project.

B. CONCLUSIONS

Although presentation of the findings on the evaluation questions have provided for support of the answer to the primary evaluation question, it is important, for an effort such as the current demonstration and evaluation project, to ferret out those findings which might be deemed significant, and allow for conclusions to be made. Accordingly, presented below are only those conclusions, based on the analysis of both quantitative and qualitative data, which are considered by the *Institute* to be significant, and which lend themselves to strong correlations with recommendations that are presented in the last section of this final report.

1. That the regional workshop method is more effective than the campus on-site method in providing technical assistance to HBCUs, based on measures of success such as the pre and post-tests, the submission of proposals, and.the receipt of grant awards.

2. That a strong correlation exists between the receipt of technical assistance provided in a follow-up manner to the workshop, and the ultimate submission of a proposal to HRSA, by the HBCU participants.

3. That the HBCU workshop participants regarded the ability to understand and use a systematic proposal development process as being the most critical factor in their efforts to produce competitive and successful proposal submissions to HRSA, and to other funding sources.

4. That, based on a cross-referencing of the data from the case studies, the Feedback Forms, and the proposal submission count, a strong correlation exists between the commitment and dedication shown by the HRSA staff, in their roles as workshop facilitators and mentors, and the ultimate submission of proposals by the HBCU workshop participants.

5. That the regional workshop method is more cost-effective than the campus on-site method, based on a cost-benefit analysis.

6. That, based on a cross-referencing of data from the case studies and the provision of follow-up technical assistance, a strong correlation exists between the success of the individual HBCU participant during and after workshop participation, and the interaction of that individual with the Sponsored Programs Office prior to the workshop, in efforts by this office to support all facets of the technical assistance effort.

7. That two levels, or categories, of HBCU participants exist, with respect to their needs for the provision of technical assistance in a follow-up manner to the workshop: (a) those who require assistance in identifying an appropriate programmatic area within one of the HRSA bureaus; conceptualizing a project related to the identified area; and in the development of the proposal as part of the grant application to the identified program area, and (b) those who only require assistance in the development of the proposal as part of the grant application to the program area that they have already identified.

8. That extensive and well organized materials, specifically designed for each topical presentation, are essential to the success of the workshop.

9. That the campus on-site workshop presentation, where more than one faculty member from an HBCU can be in attendance, allows for a broader institutional participation in all aspects of the technical assistance effort, than does the regional workshop presentation; however, the on-site presentation does not allow for the greater success in knowledge gain and in proposal submission.

10. That the HBCU participants are very desirous of significantly increasing their knowledge about the contract award process.

11. That the campus on-site presentation, where more than one faculty member from an HBCU can be in attendance, allows for a broader institutional participation in all aspects of the technical assistance effort, than does the regional workshop presentation; however, the on-site presentation does not allow for the greater success in knowledge gain and in proposal submission.

12. That a strong correlation exists between promotion, by HRSA, for involvement by the HBCU participants with peer review committees, as evidenced in campus on-site presentations, and the actual submission of applications by the participants for such involvement.

X. LESSONS LEARNED FROM THE PROJECT

In the process of implementing the evaluation component, there were several notable outcomes that were not specifically addressed by the evaluation questions, but were within the realm of the project. Additionally, there were several observations that were made which can be construed as ancillary findings, based on the experience of the *Institute* in evaluating similar projects. Both the notable outcomes and the ancillary findings can best be described as lessons learned. Presented below is a discussion of these lessons learned.

Of special note is the response that the HBCU participants gave to the apparent dedication and commitment of the HRSA facilitators and mentors, in their efforts to increase the involvement of HBCUs in the programmatic activities of the agency. This show of dedication was quite a motivating factor to the HBCU participants, and served to enhance their desire to submit proposals and to become involved with other HRSA activities, such as peer review committee membership. The lesson learned here is that, a careful process should be made by HRSA in their selection of facilitators and mentors to provide direct technical assistance. Further, it is imperative that the administrators of each-HRSA bureau, and the division chiefs, make it known to the ultimately selected facilitators and mentors that they highly support the technical assistance effort.

It is also of note that the awareness of those HRSA staff who participated in the campus on-site workshop presentations was significantly increased, regarding the impressive physical plants possessed by the HBCUs which were site-visited. At each of the five visited sites, the HRSA contingency was enlightened by the existence of extensive library holdings, functional computer laboratories, and well equipped research facilities. This enlightenment served to negate the oft-times stereotype that HBCUs have inadequate facilities, and likewise, have inadequate capabilities for involvement with many of the

programmatic activities of a Federal agency, especially in the area of research. This is not to say that HBCU facilities cannot be enhanced for the pursuance of more advanced program efforts, as is the case with any institution of higher education, it does indicate, however, that many HBCUs are currently poised to be of service and benefit to agencies such as HRSA.

As a value added to the workshop, there was an increase in the awareness and knowledge of the HRSA facilitators and mentors, about the program initiatives and cross-cutting issues that are currently being addressed by each other's bureaus. In fact, the great majority of the HRSA contingency voiced that, as a result of presentations made by their colleagues from other bureaus, they were more able to see a global picture of HRSA's current priorities for carrying out its mission of serving vulnerable populations. The lesson learned here is that, a formal presentation might be developed for all of HRSA staff, which not only provides an orientation to the missions of the various bureaus, but also allows for a gain in understanding about all of HRSA's current priority issues, and policy implications, if any, that might be associated with these issues.

With respect to the workshop implementation process, a number of lessons were learned here. Of particular importance, is the time of the year that the workshop presentations are scheduled. Equally important is the time of year that efforts are made to interact with HBCU participants, in an attempt to assist them in the development of a project idea, that might be relevant to the programs in HRSA. Based on the experience during the development of the current HBCU technical assistance effort, the summer is not a good time to schedule a workshop, or to attempt interaction with faculty. The timing for such efforts, it was learned, is not unique to HBCUs, but to all institutions of higher education. Consideration also should be given to scheduling a sufficient number of workshop presentations, around the time that would allow the HBCU participants to take advantage of the various funding cycles of HRSA grant programs.

Another time issue relates to assuring that all potential HBCU workshop participants are notified about their selection, at least 90 days prior to a scheduled workshop. This is an area where it is extremely important to have developed a good rapport with the sponsored programs offices (SPOs) at the respective HBCUs. About 30 days, of the 90 day period, should be allowed for the SPO to work directly with the various department heads, in efforts to identify the most appropriate faculty for participation in the workshop. The remaining 60 days, of the 90 day period, should provide sufficient time for interaction between the selected participant and the workshop convener, to assist in the development of a project idea. In addition to enhancing the commitment of the HBCU participant for the workshop, such interactions, it was learned, allow for a more meaningful match with a HRSA mentor.

Several lessons also were learned about the conduct of the workshop. One of the most important was the self-introductions by the HBCU participants and all facilitators, during the introductory morning session on Day 1 of the workshop. In addition to the value these self-introductions served as an "ice-breaker", they also permitted the facilitators to know the backgrounds of their audience. Such knowledge further permitted the facilitators to include a discussion of program initiatives germane to this audience, inclusive of their planned presentations.

While several discussions in the previous sections, especially in the case studies, have addressed the importance of having a "captive" audience for the duration of all workshop sessions, for all days, it is significant enough to further discuss this issue among the lessons learned. Although analysis of the data does not permit a definitive reason as to why the HBCU participants in the campus on-site workshop presentations did not fare as well as the regional participants on the post-test, it is surmised that the frequent "in-and-out" attendance of the on-site participants, had an impact on their post-test performance. Whereas use of the regional approach, in presentation of the technical assistance workshop, should make this issue moot, it is still important for the participants to realize that

attendance throughout all workshop sessions positively affects learning outcomes. This might be conveyed by the workshop facilitators, in a tactful way, to the HBCU participants.

As discussed in previous sections of this report, at all of the campus on-site workshop presentations, two to four faculty were in attendance with the intent of submitting a jointly prepared proposal to HRSA. During the provision of follow-up technical assistance, it was learned that attempts at such joint efforts did not always involve the most well managed process. In at least two cases, the joint intent ended in an aborted effort to develop a proposal for HRSA. Although *KATE,* the systematic proposal development process, fosters the production of a proposal by a team, it might be well for the facilitators to more emphatically endorse this concept during the workshop. Additionally, the section of *KATE* which provides the step-by-step process for working as a proposal development team, at an institution of higher education, can be more emphasized during workshop presentation.

A major lesson learned resides in the fact that university faculty have extremely limited knowledge about the contract process. Considering the presentation made at the workshop, by two different HRSA contracting officers, that a trend is approaching, whereby some of the program awards, in HRSA and other DHHS operating divisions, that have for years been in the grants domain, will in the near future be placed in the contracts domain, it is important for HBCUs to become more familiar with this process. Several of the HBCU participants verbally expressed their lack of knowledge about contracting, and also indicated on their feedback forms that they were desirous of becoming more familiar with the process. Based on these factors, thought might be given to expanding the discussion on the contracts process in future workshop presentations.

In conclusion, although the structure and content of the workshop has been refined, over the seven presentations, it is suggested that minor modifications to the content be made, based on the lessons learned, in addition to the evaluation findings.

XI. POLICY IMPLICATIONS FROM THE EVALUATION

The evaluation component of the HBCU technical assistance effort is intended by HRSA to provide insight into the relative effectiveness of two alternative methods, or approaches, for increasing HBCU participation in the programmatic activities of HRSA. While the data must be considered preliminary, there are at least three broad policy implications that emerge from the results of the evaluation:

(1.) The importance of HRSA staff participation in technical assistance,

(2.) The advantages of regional meetings over on-campus presentations, and

(3.) The continuing need for more attention to the internal culture and politics of many HBCUs.

Each of these issues is addressed in turn in the following sub-sections.

A. IMPORTANCE OF HRSA STAFF PARTICIPATION IN TECHNICAL ASSISTANCE

The current technical assistance effort was designed with the assumption that HBCU participants would benefit from direct contact with HRSA staff. As presented in the section on Lessons Learned, and to some extent in the formal findings, it is suggested that, indeed, the one-on-one mentoring sessions, and the presentations by HRSA staff provided a degree of specificity, relevance, and legitimacy that might not have been possible without direct HRSA staff participation. There is a common perception that it is difficult to anticipate the true intentions of Federal agencies without face-to-face contact. At a minimum, it is true that direct discussions with agency representatives provide an opportunity to clarify subtle but important expectations and needs that are not always obvious in program announcements. Direct contact also facilitates a deeper

understanding of agency priorities as they are evolving, so that HBCU faculty can steer their project development efforts in the appropriate directions.

It is important to note that the exposure to HRSA staff appears to be particularly valuable in the context of technical assistance provision. This context creates the expectation among all parties that a wide range of questions may be asked and answered. The expectations can be different in an informational conference, where less experienced participants might not want to appear ignorant or waste the group's time with seemingly elementary questions.

In addition, the participation of HRSA personnel provides HRSA staff with a better understanding of the capabilities of HBCUs. Informal and unsolicited comments from some of the HRSA facilitators and mentors, as pointed out in the section on *Lessons Learned,* suggest that the on-campus presentations were particularly useful in debunking the myth that HBCUs are completely lacking in facilities and infrastructure. While many institutions have specific needs for updating or expansion of facilities, most HBCUs also possess facilities that give them specific strengths that are relevant to HRSA's efforts to train health care providers, educate particular sectors of the public, and improve access to care. Thus, while the data suggest that regional workshop presentations have distinct advantages over on-campus workshops, it is evident that HRSA and HBCUs can benefit from the implementation of a systematic effort to send HRSA staff on site visits to HBCUs so that HRSA will more clearly recognize the quality and utility of the resources available at HBCUs. A logical option would be to have HRSA staff conduct site visits as a follow-up to regional workshops. Such follow-up visits would have the added benefit of encouraging HBCU participants to sustain their enthusiasm for increasing their involvement with HRSA, including the submission of proposals, participation on peer review committees and advisory boards, and in intergovernmental personnel assignments.

B. ADVANTAGES OF REGIONAL WORKSHOPS

It is evident, at least in the preliminary data, that regional workshop participants received technical assistance in an environment that was conducive to their full participation. As such, most regional workshop participants were exposed to the full range of sessions, including information on all the HRSA bureaus, mentoring from the HRSA staff, and guidance in project development and proposal production. Apparently, this full exposure was supported by the fact that the participants were effectively removed from their day-to-day responsibilities. The same could not be said for the campus on-site participants, many of whom felt compelled to miss significant portions of the technical assistance effort in order to teach classes, or to satisfy other on-campus obligations.

Another possible advantage of the regional workshops is the fact that the participants represented multiple HBCUs. This is an advantage for HRSA to the extent that it yields the proposal submissions or other types of involvement from multiple HBCUs as a result of a single workshop. It is still too early to state definitively that this advantage outweighs the risk of spreading the assistance too thinly. The campus on-site workshop is intended to maximize the likelihood of positive results in a particular HBCU by promoting the involvement of multiple faculty members. The campus on-site workshop also makes it easier for HBCU administrators to participate in or observe the technical assistance sessions, which would presumably help them to facilitate faculty efforts. In order that the positive features of the on-site presentation might be captured, regarding the broader involvement of a single HBCU, it might be beneficial to develop a variation on the regional workshop, such as inviting multiple representatives of an HBCU. This would ensure that a "critical mass" of institutional efforts exist, for the pursuance of increased participation with HRSA activities, especially in the pursuance HRSA funding.

C. THE NEED TO ADDRESS INTERNAL POLITICS OF HBCUs

A major consideration that was not formally addressed in the demonstration or evaluation components of the technical assistance effort, is the fact that many HBCUs have internal political conditions which tend to inhibit faculty from seeking funding from HRSA or any other Federal agency. The need to address such political circumstances was initially evident during the process of selecting institutions to participate in the workshops. It was a surprise and a disappointment to the *Institute* to find that some HBCUs were not interested in receiving free technical assistance from HRSA. Further study could be very valuable in determining the reasons for resistance to such outreach from HRSA. Informally, the comments from interviewees, during conduct of the needs assessment, suggest that some HBCU administrators do not believe that they need help, while others do not believe that they have time to pursue help. Both of these positions are clearly misguided, particularly where an HBCU has not obtained significant HRSA funding for activities that are relevant to the institution's own goals and interests.

The issue of time is a recurring theme in many institutions as faculty do not believe that they have the necessary resources to pursue external funding. Some workshop participants expressed at least some concern about their ability to sustain an active interest in project development and proposal writing, given the other priorities that they face in their day-to-day work. To a large degree, the issue of time, which ultimately is a function of priorities, is the responsibility of the HBCU administrators. Presidents, deans, and department chairs must provide a clear message and realistic resources to support the idea that faculty should pursue funding from HRSA and other agencies. Resources might include economic incentives for proposal production, careful adherence to release time policies, and minimizing bureaucratic barriers to project acquisition and management.

While these issues have obvious significance for any agency that is trying to increase HBCU involvement in grants or contracts, it is not so clear what an agency can

do to address the internal politics or culture of an HBCU, given it is out of the agency's purview. In some cases, site visits might be useful, providing an opportunity for HRSA personnel to communicate. strongly with an HBCU President and all other relevant administrators regarding the importance offollowing through with institutional commitments to release time, matching funds, and other resources necessary for project success. The agency would also need to be willing to engage in enforcement of contractual requirements, if necessary, to convince reluctant administrators that those requirements are real and that negligence of those requirements actually has severe consequences. HRSA and other agencies should, at least, engage in a formal dialogue with HBCUs to identify the range of internal barriers faced by faculty and to explore methods of helping these institutions deal with those barriers.

XII. RECOMMENDATIONS

The following recommendations draw from the findings and conclusions that are presented in a previous section of this report. These recommendations highlight the most fundamental aspects of the three components of the project: (a) demonstration, (b) evaluation, and *(c) follow-up technical assistance provision,* all of which have contributed to answering the primary question of the project. Further, these recommendations are strictly limited to issues that are within the purview of OMH and HRSA, regarding actions that can be taken to conduct effective technical assistance workshop presentations for HBCUs. Accordingly, the following recommendations are offered:

1. That HRSA support the conduct of technical assistance workshop presentations for all of the Nation's HBCUs, using the regional method. To allow for broad institutional participation, as was evidenced in the campus on-site presentations, the workshop should be designed for 15 participants, involving 5 HBCUS, with 3 participants from each HBCU. If one workshop per month is presented, this design would allow for the approximately 90 HBCUs that have not been exposed to the workshop, to be accommodated over an 18 month period.

2. That a cadre of HRSA staff be identified from among every bureau, to serve as primary facilitators and mentors, over the long term of the technical assistance workshop presentations. To enhance the presentations of the HRSA facilitators, and to allow for the standardization of presentations in the unforseen event that a primary facilitator might not be able to participate in a particular workshop, a slide show should be developed, using Microsoft Power Point, Corel 8 Presentation, or some comparable computer software.

3. That a Center be established by HRSA, for the provision of technical assistance to HBCUs, and to otherinstitutions of higher education that have significant minority enrollment. The Center would be responsive to those HBCUs that require technical assistance in a follow-up manner to participation in a workshop, and to any minority institution desirous of technical assistance, as it relates to an increase in their involvement with the programmatic activities of HRSA.

4. That HRSA develop and implement an *Action Plan* designed to address three issues: (a) an increase in the involvement of HBCU faculty on peer review committees, advisory boards, and in intergovernmental personnel assignments (IPA), (b) a determination of the barriers which exist to the increased participation of HBCUs in HRSA activities, and (c) a strategy for the visit of HRSA personnel to HBCU campuses .This *Action Plan* should be inclusive of goals and time frames for attaining those goals.

5. That an evaluation component be included in any formal effort to provide technical assistance to HBCUs, so that a determination of the impact of the effort might be made.

APPENDICES

HRSA Technical Assistance to HBCUs/Initial Telephone Contact Needs Assessment Protocol

list of Facilitators

Briefing Session Agenda

Appendix A

HRSA TECHNICAL ASSISTANCE TO HBCUs
INITIAL TELEPHONE CONTACT/NEEDS ASSESSMENT PROTOCOL

Interviewer Name:_____ **Date:** ____/____/____

Interviewee Name:_____ **Institution Name:**_____

Interviewee Telephone Number:_____

Introductory Comments (Use as a guide. Do not read from the protocol.)

1) Identify self. Institute for College Research Development and Support is...

2) Calling on behalf of the Health Resources and Services Administration of the U.S. Department of Health and Human Services: This agency, also known as HRSA, conducts a wide range of programs aimed at ensuring the availability of health care to Americans whose health status is considered "vulnerable" because of their income levels or community characteristics. In many cases, this vulnerable population overlaps with the low-income and minority groups that are traditionally targeted by HBCUs. Given that common interest, HRSA often provides funding to HBCUs, either through grants or contracts, in order to get HBCUs to assist HRSA in developing, implementing, and evaluating HRSA programs. Unfortunately, however, most HBCUs are not as involved with HRSA programs..as the agency believes they could be. For that reason, HRSA is preparing to offer technical assistance to help HBCUs in increasing their involvement. But, first, it is important to be able to tailor that assistance to the specific needs of HBCUs.

3) There are two primary reasons for this call. First, we need to determine whether your institution has an interest in receiving technical assistance that is designed to help your institution to compete for HRSA funding. Second, we need to get a sense of the specific needs of your institution for particular types of technical assistance.

4) Is this a good time to talk? It may take as much as 15 or 20 minutes to get a clear mutual understanding of how your institutions needs relate to the available technical assistance. ***If necessary:*** When would be a better time to call?

Part I: Interviewee Information

First I will need to get some background information about you.

1. What is your official job title?_____

2. How long have you been in your current position?___years _____months

3. How long have you worked for this institution? y e a r s _____months

4. What is your role relative to the acquisition of grants and contracts from Federal agencies, such as HRSA?

5. Are you aware of any particular faculty persons who might be interested in pursuing funding from HRSA?

_____Yes _____No

5(a). If Yes, what faculty person(s) do you think might be most interested in HRSA funding?

NOTE: If necessary, you can call me back with suggested persons to contact.

1. _____
2. _____
3. _____

5(b). Could you please give me contact information for that person (those persons)?

#1 Phone:_____
#1 Office Address:_____
_____
_____

#2 Phone:_____
#2 Office Address:_____
_____
_____

#3 Phone: _____

#3 Office Address: _____

_____

_____

Part II. Extent and Type of Needs for HRSA Technical Assistance

1. There are several general topic areas where HRSA believes technical assistance could be of value to some HBCUs. Which of the following areas of assistance do you think your institution would find useful, if any?

a. ☐ More specific information on HRSA programs and their aims
b. ☐ The typical funding cycles for HRSA programs
c. ☐ HRSA's particular procedures for reviewing grant applications
d. ☐ Strategies that an HBCU might use to develop or market project ideas for HRSA funding
e. ☐ Strategies for producing competitive proposals
f. ☐ Strategies for efficient financial management and administration of grant and contract awards

1 (g) Are there other topic areas that would be especially helpful for your institution?

If Yes, identify other topics in space below:

1 (h) Are there any particular areas of sponsored programs administration, either pre-award or post-award, that typically pose a challenge for your office or for your institution?

If Yes, identify the areas in space below:

Part III: Willingness to Participate in a Site Visit or Workshop

1. ***Ask ONLY if seeking a SITE VISIT participant:*** HRSA is considering the provision of technical assistance through one of two possible approaches. One approach would be to have consultants conduct a 1.5-day visit to your institution, giving them an opportunity to talk with various individuals about ways to compete for HRSA funding. The other approach would be to have one of your interested faculty members attend a workshop, where the presenters would include HRSA personnel, HBCU administrators who have expertise in the types of topic areas that are to be addressed, and outside consultants who also have relevant expertise. Generally, it is expected that each approach has different strengths and weaknesses, depending on an institution's needs. Do you think that your institution would be interested in receiving technical assistance through one of these approaches?

   Yes___ No___

NOTE: ***Inform interviewee:*** Site visit is good if you want consultants to see a wide variety of persons on campus. Workshop is good for giving a single faculty member a strong basis for launching a project, as well as networking with other workshop participants.

1(a). If yes, which approach would you prefer?

   a. ☐ Receiving a HRSA site visit at your institution
   b. ☐ Having one faculty member attend a HRSA workshop, at HRSA's expense?

1(b). If answer to 2(a) is *sife visit,* then ask: Can I go ahead and list you as a tentative site visit candidate?

   Yes___ No___

1(c). If answer to 2(a) is *workshop,* then ask: Can I go ahead and list your institution as a tentative workshop participant?

   Yes--- We--

2. ***Ask if offering only a workshop opportunity:*** HRSA is preparing to produce a technical assistance workshop for HBCUs. The aim would be to have one of your interested faculty members attend a workshop, where the presenters would include HRSA personnel, HBCU administrators who have expertise in the types of topic areas that are to be addressed, and outside consultants who also have relevant expertise. Faculty from 9 other HBCUs would participate in the same workshop.

Do you think that your institution would be interested in sending a faculty member to participate in the workshop, at HRSA's expense?

Yes__ No___

2(a). If answer to 3 is yes, then ask: Can I go ahead and list your institution as a tentative workshop candidate?

Yes - No___

Part *IV:* Preferred Agenda for Assistance

1. Given the needs of your institution, what types of activities or topics would you want to see on the agenda for HRSA's technical assistance?

2. Are there particular types of activities or topics that you specifically do NOT want HRSA to spend time on in its assistance to your institution, given your institution's current needs?

Yes__ No___

2(a) If Yes, what do you not want to see on the agenda for assistance?

Part V: Documentation of Relevant Experience and Sponsored Programs Administration

1. In order to ensure that HRSA has an adequate understanding of your institution's current situation, regarding sponsored programs, we would like to obtain information about your sponsored programs office, such as the size of the staff and its functions. It would probably save you and me some time if we simply obtained this information on a questionnaire. Would it be okay for me to send those questions to you on our Sponsored Programs Information Form?

Yes__ No___

1 (a) If No, do you have a couple of minutes to describe your office to me on the phone?

[Use the Form as the basis for structured probing questions]

2. My last question relates to the institutional commitment to pursuit of HRSA funding. Naturally, given the agency's investment of resources for technical assistance, HRSA is seeking a documented commitment that the institution will follow through, after the technical assistance, by pursuing at least one grant or contract. In fact, the technical assistance will be designed to help your institution initiate the pursuit of program funding that is particularly suited to your institution. Would your office be an appropriate point of contact for securing a memorandum of understanding about such an institutional commitment?

Yes__ No___

2(a) If no, who should I contact about that institutional commitment?

[Probe for name(s) and contact information.]

Appendix B

list of facilitators

Jay Anderson, D. D.S.
Chief Dental Officer
Bureau of Primary Health Care
Division of Community and Migrant Health
4350 East West Highway, 7th Floor
Bethesda, MD 20814
Phone: *(30* 1) 594-4295
Fax: (301) 594-4997

Judith E. Amdt
Program Manager
Division of Associated, Dental and
Public Health Professions (DADPHP)
Parklawn Building, Room 8C-02
Phone: *(30* 1) 443-6867
Fax: (301) 443-1164

Hubert Avent
Director of Urban Health
Bureau of Primary Health Care
Division of Community and Migrant Health
4350 East West Highway
Bethesda, MD 20814
Phone: (301) 594-4332
Fax: (301) 594-4997

Jeff Bosshart
HIV/AIDS Coordinator, HRSA
Southeast Field Office
61 Forsyth Street, S.W.
Atlanta, GA 30303
Phone: *(404)* 562-4195
Fax: *(404) 562-7974*

Diane Cairns
Public Health Analyst
Bureau of HIV/AIDS
Parklawn Building, Room 7-47
Phone: *(30* 1) 443-0735
Fax: (301) 443-1884

Gwendolyn B. Clark
Deputy Director
Office of Minority Health
Parklawn Building, Room 10-48
Phone: (30 1) 443-56 19
Fax: (301) 443-7853

Norman Clark, D.D.S.
Chief, Interdisciplinary, Geriatric and
Allied Health Branch, DADPHP
Parklawn Building, Room 8C-02
Phone: *(30* 1) 443- 1346
Fax: (301) 443-l 164

Roscoe G. Dandy
Project Officer
Office of Minority Health
Parklawn Building, Room 10-48
Phone: *(30* 1) 443-2964
Fax: (301) 443-7853

Barbara Easterling
Nurse Consultant
Division of Nursing
Bureau of Health Professions
Parklawn Building, Room 9-36
Phone: *(301) 443-8798*
Fax: (301) 443-4943

Aaron Favors
Distance Learning Coordinator
Division of Science, Education and Data
Maternal and Child Health Bureau
Parklawn Building, Room 18A-55
Phone: *(30* 1) 443-0392
Fax: *(30* 1)443-0392

John D. Gallicchio
Deputy Director, Division of Services for
Children with Special Health Care Needs
Maternal and Child Health Bureau
Parklawn Building, Room 18A-27
Phone: (301) 443-8999
Fax: (301) 443- 1728

Arlene Granderson
Director of Operations
Office of Rural Health Policy
ParkIawn Building, Room 9-05
Phone: *(30* 1) 443-06 13
Fax: (301) 443-2803

Naomi Haney
Senior Contract Specialist
Parklawn Building, Room 13A-19
Phone: (301) 443-2731
Fax: (301) 443-6038

Marilyn Henry
Project Associate
Institute for College Research
Development and Support
8701 Georgia Ave, Suite 603
Silver Spring, MD 20910
Phone: (301) 585-7588
Fax: (301) 585-3889

Anthony Hollins, Jr.
Executive Officer
Bureau of Health Professions
Parklawn Building, Room 8-05
Phone: (301) 443-4787
Fax: (301) 443-7853

M. June Horner
Director
Office of Minority Health
Parklawn Building, Room 1448
Phone: (301) 443-2964
Fax: (301) 443-7853

Reid E. Jackson, II
Executive Director
Institute for College Research
Development and Support
8701 Georgia Avenue, Suite 603
Silver Spring, MD 20910
Phone: (301) 585-7588
Fax: (301) 585-3889

Gontran Lamberty
Research Director
Division of Science, Education
and Analysis
Maternal and Child Health Bureau
Parklawn Building, Room 18A-55
Phone: (301) 443-2340
Fax: (301) 443-4842

George K. Littleton
Associate Professor of Physiology
College of Medicine
Howard University
Washington, D.C. 20059
Phone: (202) 806-7977
Fax: (202) 806-4921

Elbert R. Malone
Director of Sponsored Programs
South Carolina State University
P.O. Box 7461
Orangeburg, SC 29117
Phone: (803) 536-8213
Fax: (803) 533-3679

Mario A. Manecci
Chief, Program Coordination Branch
Division of Disadvantaged Assistance
Bureau of Health Professions
Parklawn Building, Room 8A-09
Phone: (301) 443-2980
Fax: (301) 443-4943

Elijah K. Martin, Jr.
Director of Sponsored Programs
Langston University
Page Hall, Suite 227
Langston, OK 73050
Phone: (405) 466-2910
Fax: (405) 466-3271

Steve Merrill
Freedom of Information Officer
Parklawn Building, Room 11-34
Phone: (301) 443-2865
Fax: (301) 480-5285

Sheila Norris
Program Officer
Division of Disadvantaged Assistance
Bureau of Health Professions.
Parklawn Building, Room 8A-09
Phone: (301) 443-1748
Fax: (301) 443-5242

Carolyn D. Paxton
Project Manager
Institute for College Research
Development and Support
8701 Georgia Ave, Suite 603
Silver Spring, MD 20910
Phone: (301) 585-7588
Fax: (301) 585-3889

Bradford Perry
Acting Director
Office of the State and Community Health
Maternal and Child Health Bureau
Parklawn Building, Room 18-31
Phone: (301) 443-2204
Fax: (301) 443-9354

Robert Pittman
Deputy Chief
Peer Review Branch
Bureau of Health Professions
Parklawn Building, Room 8C-23
Phone: (30 1) 443-0985
Fax: (301) 594-1171

James L. Quinn
Chief, Contracts Operation Branch, HRSA
Parklawn Building, Room 13A-19
Phone: (30 1) 443-5343
Fax: (301) 443-2803

Daniel Reed
Program Officer
Division of Disadvantaged Assistance
Bureau of Health Professions
Parklawn Building, Room 8A-09
Phone: (30 1) 443-2982
Fax: (301) 443-4943

Dina L. Robinson
Program Officer
Division of Disadvantaged Assistance
Bureau of Health Professions
Parklawn Building, Room 8A-09
Phone: (30 1) 443-3009
Fax: (301) 443-4943

Ernell Spratley
Acting Chief
Nursing Data and Analysis Staff
Division of Nursing
Bureau of Health Professions
Parklawn Building, Room 9-21
Phone: (30 1) 443-6315
Fax: (301) 443-8586

Marylin Stone
Chief, Grants Policy Office
Office of Management and
Program support
Parklawn Building, Room 13A-33
Phone: (301) 443-6509
Fax: (30 1) 443-1296

Phyllis Stubbs-Wynn, M.D.
Chief, Infant and Child Health Branch
Maternal and Child Health Bureau
Parklawn Building, Room 13A-39
Phone: (301) 443-4489
Fax: (301) 443-1296

Richard Vause
Program Officer
Division of Disadvantaged Assistance
Bureau of Health Professions
Parklawn Building, Room 8A-09
Phone: (301) 443-2438
Fax: (301) 443-4943

John R. Westcott
Grants Management Officer
Bureau of Health Professions
Parklawn Building, Room 8C-26
Phone: (301) 443-6880
Fax: (301) 443-6343

Department of Health and Human Services
Health Resources and Services Administration (HRSA)
Parklawn Building
5600 Fishers Lane
Rockville, MD 20857